



EXECUTION FRAMEWORK
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FUNCTIONAL REQUIREMENT SPECIFICATION

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1 Introduction

This document details the requirements of functions that are available through the functionality of PharmaSuite phase building blocks as well as through the Production Execution Client. However, the functions are implemented by the execution framework. The framework supports the electronic execution and recording of recipes and workflows, monitoring and recovery capabilities, and the exception management.

In addition, the Phase-related Common Capabilities ([GID-2665864](#)) chapter describes the common requirements of all PharmaSuite phase building blocks and the Operation-related Common Capabilities ([GID-2665868](#)) chapter describes the common requirements of operation building blocks.

Each requirement is composed of a name (e.g., Task-oriented UI) and a unique identifier (e.g., GID-1234567) and is extended with its business attributes (GxP Relevance, Business Impact) and its compliance attribute (21 CFR Part 11 Relevance).

In some cases, additional context information is available, indicated in the document by a frame and a gray background color. This context information is related to the respective requirement, but not part of the formal requirement description.

The revision history lists the changes made to the document with the previous FactoryTalk PharmaSuite release as the comparison baseline. It provides individual tables for "Updated", "Added", and "Deleted" requirements that juxtapose the previous approved version with the new approved version of an item.

Typographical Conventions

This documentation uses typographical conventions to enhance the readability of the information it presents. The following kinds of formatting indicate specific information:

Bold typeface	Designates user interface texts, such as <ul style="list-style-type: none">▪ window and dialog titles▪ menu functions▪ panel, tab, and button names▪ box labels▪ object properties and their values (e.g., status).
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2 Production Execution Client (SR3071.4+)

The Production Execution Client supports the processing of recipes (designed with Recipe Designer), workflows (designed with Workflow Designer), and pre-defined workflows on the shop floor.

For details regarding pre-defined workflows, please refer to the **GUI components and navigation for pre-defined workflows (SR3071.4.2+)** requirement ([GID-2665779](#)) and the **Pre-defined Inventory Workflows (SR3071.4.6)** requirement (GID-2665870).

2.1 GID-3093191 Task-oriented UI (SR3071.4.3)

Based on information about its work center, station, device, and the logged-in user, the Production Execution Client displays a list of startable or restartable tasks in the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.2 GID-2665760 Processing Types (SR3071.4.3.2)

The Production Execution Client supports:

- Batch processing (based on a master recipe designed with Recipe Designer, [A2] ([GID-2665873](#)))

Related tasks in the **Production** group of the **Cockpit (SR3071.4.1.1)** view are **Batch Processing** and **Material Processing**. Both open a specific Selection Window to start processing.

- Workflow processing (based on a master workflow designed with Workflow Designer, [A2] ([GID-2665873](#)))

Related task in the **Production** group of the **Cockpit (SR3071.4.1.1)** view is **Workflow Processing**. It opens a Selection Window to start processing.

- One-click workflows assigned to a particular work center (based on a master workflow designed with Workflow Designer, [A2] ([GID-2665873](#)))

Related tasks in the **Cockpit (SR3071.4.1.1)** view are defined in Workflow Designer.

- Pre-defined workflows assigned to a particular work center (e.g. material receipt)

Related tasks are available in the **Inventory** group of the **Cockpit (SR3071.4.1.1)** view.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3 Framework (SR3071.4.1+)

PharmaSuite provides the following execution-specific framework capabilities for recipes and workflows designed with Recipe and Workflow Designer.

2.3.1 *GID-2665762 GUI Areas (SR3071.4.2.4)*

The UI of the Production Execution Client consists of three areas:

- **header bar (SR3071.4.2.4.1)** area ([GID-2666853](#)),
- work area of the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)), the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)), the **Navigator (SR3071.4.2.3)** view ([GID-2665764](#)),
- **notification panel (SR3071.4.2.4.4)** area ([GID-2666855](#)), and
- **control bar (SR3071.4.2.4.3)** area ([GID-2666854](#)).

In the default configuration, the **notification panel (SR3071.4.2.4.4)** and the related extensions of the **header bar (SR3071.4.2.4.1)** and the **control bar (SR3071.4.2.4.3)** are displayed. The configuration can be changed station-specifically.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.2 *GID-3116139 Resizable Layout (SR3071.4.1.5)*

The main frame of the Production Execution Client shall be resizable.

The work area must not be reduced to less than its minimum size (see (GID-3073312) in FT PharmaSuite Supported Platforms Guide [A14] ([GID-2665873](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3 *GID-3116145 Support of different screen resolutions (SR3071.4.1.6)*

Using a screen with higher resolution, the Production Execution Client shall be able to show more data or the same data but larger (this additionally depends on operating system settings, see (GID-3073312) in FT PharmaSuite Supported Platforms Guide [A14] ([GID-2665873](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.1 GID-2666853 HEADER BAR (SR3071.4.2.4.1)

The system provides a header bar that displays information for all views:

- company logo
- current work center, station, date and time
- logged-in user

The header bar shall support action buttons, see Actions of the Header Bar (SR3071.4.8) ([GID-2665766](#)).

For all views, the system supports notification bars specific to

- escalation management, see **Graphical Representation of Escalation States (SR1089.6.3.2)** details ([GID-2666946](#)) and
- paused unit procedures, see **Graphical Representation of a Paused Unit Procedure (SR1089.8.3.1)** details ([GID-2666923](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.2 GID-2666854 CONTROL BAR (SR3071.4.2.4.3)

The system provides a control bar that enables the navigation between different views and within a view as listed below:

- **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#))
- **Navigator (SR3071.4.2.3)** view ([GID-2665764](#))
- **Exception management (SR1079+)** view ([GID-2665861](#))
- Page up
- Page down
- Switch between concurrently running operations
- In case the **Notification Panel (SR3071.4.2.4.4)** area ([GID-2666855](#)) is displayed, the system extends the control bar with a **Notification Action Panel (SR3071.4.2.4.6)** area ([GID-2666857](#)).

The navigation is supported by keyboard shortcuts.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3 GID-2666855 NOTIFICATION PANEL (SR3071.4.2.4.4)

The notification panel is collapsible and displays device-specific notifications in a scrollable list with a sequence of information within.

The notification panel can be enabled on station level by configuration key (**showUserNotification**).

The notification panel width is configurable and can be configured on station level by configuration key (**notificationPanelWidth**).

TIP

For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.1 GID-2667326 NOTIFICATION PATH AND INDICATOR (SR3071.4.2.4.4.1)

The first part of a notification displays path information and indicators:

- The context to which the notification belongs, described by a path. The path supports the system to determine on which Production Execution Client the notification shall be visible. It can be formed as follows
 - Order or workflow name
 - Order or workflow name / Unit procedure.
 - Order or workflow name / Unit procedure / Operation
- Indicators for
 - a pinned notification – the notification can be pinned by the user or notification sender.
 - an alarming notification – the notification can be defined as alarming by the notification sender.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.2 GID-2667327 NOTIFICATION TEXT, VALUE AND TIMESTAMP (SR3071.4.2.4.4.2)

The notification text information is visible below the notification path information

- The notification text defined by the sender of the notification.

The value defined by the sender is visible below the notification text:

- a timestamp, or
- a timer (duration e.g. 5d 20h 6min or 4h 0min).

The duration of the timer is calculated as follows:

provided timestamp – current timestamp.

If the provided timestamp is in the past, the timer duration is set to 0 min.

The timer counts down in minute increments.

The seconds will be rounded up to next minute.

The timer stops when it reaches 0 min.

Timer values higher than 999 days are not expected.

The notification timestamp is visible right of the notification value

- The timestamp when the notification was created or modified (only time with hour and minute if it is from today, in case it is from previous days additional with the date.)

The format of the timestamps can be configured.

TIP

For configuration details, see chapter "Localizing Date and Time Representation" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.3 GID-2667328 NOTIFICATION SELECTION (SR3071.4.2.4.4.3)

A notification shall be selectable to allow to trigger an action on it. Only one notification can be selected at a time.

The selected notification is visually distinguishable from the non-selected notifications.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.3.3.4 GID-2667329 NEW OR MODIFIED NOTIFICATION (SR3071.4.2.4.4.4)

A new or modified notification shall be visually distinguishable from already read notifications.

If a notification is modified, the notification will be displayed as unread even the original notification was already marked as read or removed.

The notification text, value, alarming, and pinning attributes can be modified. A notification with a changed notification path or value type is ignored.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.5 GID-2667330 SORTING OF NOTIFICATIONS (SR3071.4.2.4.4.5)

Pinned notifications are always on the top. The second sorting criterion is the creation or last modification time of the notification (newer notification are further up in the list).

Marking a notification as read or pinning a notification does not change the modification timestamp.

Pinning or unpinning a notification may change its position in the notification panel.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.6 GID-2667331 VISIBILITY OF NOTIFICATIONS (SR3071.4.2.4.4.6)

The notification panel shall only display notifications that are relevant for its device. Whether a notification is relevant for a device or not is defined by the context described by the notification path. Additionally, the user can use the **Remove notification (SR3071.4.2.4.6.1)** action ([GID-2667337](#)) to hide a notification permanently from the device.

When starting a Production Execution Client with station information, the notification panel loads and displays all notifications relevant for the device.

Notifications for confidential objects will not be visible if the user does not have the appropriate access privileges, since the visibility of a notification requires the visibility of the confidential object.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.7 GID-2667332 NOTIFICATION VISIBILITY ON ORDER LEVEL (SR3071.4.2.4.4.6.1)

If the path of the notification contains only the order or workflow, the notification is visible on all devices that display a running unit procedure of the order or workflow in the Cockpit.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.8 GID-3092215 NOTIFICATION VISIBILITY ON UNIT PROCEDURE LEVEL (SR3071.4.2.4.4.6.2)

If the path of the notification contains an order or workflow and a unit procedure, the notification is visible on all devices that display the running unit procedure in the Cockpit.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.9 GID-2667333 NOTIFICATION VISIBILITY ON OPERATION LEVEL (SR3071.4.2.4.4.6.3)

If the path of the notification contains an order or workflow, unit procedure, and operation, the notification is visible on all devices that process the operation or display the operation as startable in the Cockpit.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.10 GID-2667334 NOTIFICATION VISIBILITY FOR MULTIPLE UNIT PROCEDURE INSTANCES (SR3071.4.2.4.4.6.4)

Multiple instances of unit procedures result from reactivated unit procedures. In this case, the system appends a count to the unit procedure identifier. The path of the notification never contains the counter. Nevertheless, a notification path is valid for all unit procedure instances and their operations, independent of the unit procedure counter.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.11 GID-2667335 NOTIFICATION VISIBILITY FOR MULTIPLE OPERATION RUNS (SR3071.4.2.4.4.6.5)

Operations can run in loops or several runs can be created for event triggered operations. In these cases, the system appends a count to their operation identifiers.

If the path of the notification does not contain the count of the run, the notification is valid for all operation runs.

If the path of the notification contains the count of the run, the notification is only valid for this specific operation run.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.12 GID-2667336 UPDATE NOTIFICATION PANEL (SR3071.4.2.4.4.7)

By keeping the notifications in the panel up to date, the user shall not be prevented from processing an operation and entering data.

This can be ensured by having no more than 15 notifications visible on a Production Execution Client.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.3.13 GID-3126949 COLLAPSIBLE NOTIFICATION PANEL (SR3071.4.2.4.4.8)

By default, a user can view the notification panel in expanded mode if it is enabled to display.

The notification panel header provides a button to expand and collapse the panel.

When expanded, the user can view all notification panel details, when collapsed there is only the indicator if the notification panel has alarms or notifications.

In the collapsed view, the user is not able to view the notification details or panel action options.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

2.3.3.4 GID-2666856 NOTIFICATION ALARM PANEL (SR3071.4.2.4.5)

Important notifications can be defined as alarming notifications by the sender. As long as the notification panel displays unread notifications with an alarming indicator, the notification alarm panel

- displays an alarm text,
- displays an alarm counter as number of unread alarming notifications, and
- has a background color that differs from the execution bar.

If an alarming notification is modified by a newly sent notification, it activates the alarm panel again according to the new notification data, regardless of the original notification data and whether the original notification has already been marked as read or not.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.5 GID-2666857 NOTIFICATION ACTION PANEL (SR3071.4.2.4.6)

The notification action panel provides different actions on a selected notification.

- Remove Notification (SR3071.4.2.4.6.1) action ([GID-2667337](#))
- Read Notification (SR3071.4.2.4.6.2) action ([GID-2667338](#))
- Pin Notification (SR3071.4.2.4.6.3) action ([GID-2667339](#))

The actions are supported by keyboard shortcuts.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.5.1 GID-2667337 REMOVE NOTIFICATION (SR3071.4.2.4.6.1)

A user shall have the possibility to remove a notification permanently from its Production Execution Client before the **Visibility of Notifications (SR3071.4.2.4.4.6)** function ([GID-2667331](#)) causes a cleanup of the notification list.

The notification is removed from the current device only.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.5.2 GID-2667338 READ NOTIFICATION (SR3071.4.2.4.6.2)

A new or modified notification is initially displayed as unread.

A user shall have the possibility to mark an unread notification as read or vice versa an already read notification as unread. If it is an alarming notification, the **Notification Alarm Panel (SR3071.4.2.4.5)** area ([GID-2666856](#)) is updated accordingly.

A notification marked as read should have a greyed-out appearance. This includes the text, background, and indicators of the notification.

The read or unread actions change the representation of the notification on the current device only.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.3.5.3 GID-2667339 PIN NOTIFICATION (SR3071.4.2.4.6.3)

Whether a notification is pinned or not pinned to the top of the notification panel or not, is initially defined by the notification sender. But the user shall have the possibility to change that.

A pinned notification has a corresponding indicator.

The pin or unpin actions change the position of the notification in the notification panel on the current device only.

To understand how pinning affects the sorting of the list, see the **Sorting of Notifications (SR3071.4.2.4.4.5)** section ([GID-2667330](#)).

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.6 GID-2666858 AUTOMATIC NOTIFICATION PURGE (SR3071.4.2.4.7)

Notifications of orders and workflows that cannot run anymore on any Production Execution Client shall be deleted automatically from the database (see **Status Management of Orders (SR1084.4)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#))), for orders in the **Canceled**, **Production-reviewed**, or **Reviewed** statuses.

For configuration details, see chapter "Using Event Sheets in PharmaSuite" in the "Technical Guide Administration" [A3] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.7 GID-3116243 EXECUTION BAR (SR3071.4.2.4.8)

If an order is being actively processed, the Execution Bar shall display the following order information:

- Order step
- Unit procedure instance count (after reactivation)
- Target batch
- Operation
- Phase identifier (phase-specific Exception Window only)
- Treatment ID (not if Exception Window is active)

If a workflow is being actively processed, the Execution Bar shall display the following workflow information:

- Workflow step
- Processing name
- Operation
- Phase identifier (phase-specific Exception Window only)
- Treatment ID (not if Exception Window is active)

Operations of looped processes can be run and completed several times. In these cases the system appends a count to their operation identifiers that indicates how often they have been run.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.3.8 GID-3116245 EXECUTION BAR ACTIONS (SR3071.4.2.4.8.1)

The Execution Bar shall provide the following action buttons:

- Back button
- Button to access the Execution Window ([GID-2665765](#)) (not if Exception Window or Navigator are active)
- Button to access the Navigator ([GID-2665764](#)) (not if Exception Window or Navigator are active)

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4 GID-2665763 Cockpit (SR3071.4.1.1)

The system allows to define an access privilege for the protection of master recipes and master workflows from unauthorized access. Subsequently, it shall only allow to select an order or workflow whose access privilege matches the access privilege of the logged-in user.

The Cockpit represents an operator's entry point to the execution process. Specific to each station and user, the Cockpit provides a list of all startable, resumable, and running processes, from which the operator can select unit procedures and operations to start or switch to. The running processes also include those operations of the same unit procedure that are running at another station. For an idle operation, its creation time is displayed close to the operation identifier.

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In an exceptional situation it may be necessary to repair a corrupted process (order, workflow) by unloading it from the EBR server. The Cockpit also lists the unit procedures and operations of an unloaded process even though they cannot be processed. For details related to unloaded processes, see **Unload and Reload Procedures of Orders and Workflows (SR1200.2.2)** feature ([GID-2666346](#)).

Definition of unit procedure statuses (and equivalent order step statuses):

- **Idle (Generated)**: The unit procedure (order step) can be selected for processing.
- **Running (In process)**: The unit procedure is visible in the Cockpit. Its operations are idle or running.
- **Held (Held)**: A running unit procedure has been detached from its work center. It can be resumed at any allowed work center.
- **Paused (order step keeps its current status)**: A running unit procedure has been paused, for example to hold triggering activities. It can only be resumed at its work center.
- **Aborted (Aborted)**: A running unit procedure that has been aborted. It can be reactivated to allow further processing at any allowed work center.
- **Completed (Finished)**: The processing of the last operation has been completed.

Definition of operation statuses:

- **Idle**: The operation is visible in the Cockpit and ready for starting its phases.
- **Running**: At least one phase of the operation is running.
- **On hold**: At least one phase of the operation has been started, but the current phase is on hold. For example, detaching an operation puts it on hold.
- **Resumed**: Same as a running operation, but the operation has been detached and resumed before.
- **Aborted**: An **Idle** or **Running** operation can be aborted. Processing of phases is not possible anymore.

The process and operation types (startable, not startable, running/resumable) are indicated by colors.

For running operations, the name of the computer where the Production Execution Client is running, is displayed close to the operation identifier.

For operation-related capabilities, see:

- **Detaching an operation (SR1089.6.1+)** details ([GID-2665815](#))
- **Triggering an operation by events (SR1089.6.2+)** details ([GID-2665816](#))
- **Escalation management of event-triggered operations (SR1089.6.3+)** details ([GID-2665817](#))
- **Server-side running operations (SR1089.6.4+)** details ([GID-2665818](#))
- **Auto-startable operations (SR1089.6.5)** details ([GID-3083320](#))
- **Context-related action (SR1089.6.6)** details ([GID-3083333](#))

For unit procedure-related capabilities, see:

- **Detaching a unit procedure (SR1089.8.4+)** details ([GID-2665808](#))
- **Context-related action (SR1089.8.1)** details ([GID-2665809](#))
- **Appending workflows to a unit procedure (SR1089.8.2)** details ([GID-2665810](#))
- **Pausing a unit procedure (SR1089.8.3)** details ([GID-2665810](#))
- **Reactivating a unit procedure (SR1089.8.5)** details ([GID-2665810](#))

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.1 RUNNING OR RESUMABLE PROCESSES

2.3.4.2 GID-2666860 INFORMATION OF RUNNING UNIT PROCEDURES (SR3071.4.1.1.6)

The system provides the following information specific to running unit procedures.

Master recipe-related unit procedures for batches:

- Batch identifier
- Order step identifier (order, unit procedure)
- Unit procedure instance count (only if > 1)
- Configured value (see **Configurable information of running unit procedures (SR3071.4.1.1.6.1)** section ([GID-2666861](#))).

Workflow-related unit procedure:

- [Workflow] Processing name
- Workflow step identifier (workflow, unit procedure)
- Configured value (see **Configurable information of running unit procedures (SR3071.4.1.1.6.1)** section ([GID-2666861](#))).

Below a running unit procedure the list of its operations is displayed. Each operation shall display following information:

- Operation Identifier
- Device identifier (if operation is running)
- Start time of its unit procedure

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.4.3 GID-2666861 CONFIGURABLE INFORMATION OF RUNNING UNIT PROCEDURES (SR3071.4.1.1.6.1)

The information displayed for a running unit procedure can be configured by configuration key (**UPButton3rdLineContentPath**).

For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

The following data types are supported:

- String
- Numeric (converted to a string, formatted according to the client's regional setting)
- Date (converted to a string representing a date with timestamp, formatted according to the client's regional setting)

In case the configured information is related to the S88DefaultMaterial, its output is suppressed.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.4 GID-2666862 INDICATOR FOR RUNNING OPERATIONS (SR3071.4.1.1.5)

The system highlights running operations that have already been started and that currently are not detached.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.5 GID-2666863 SORTING OF RUNNING UNIT PROCEDURES (SR3071.4.1.1.7)

By default, running unit procedures are sorted by their order/workflow step identifier (order/workflow, unit procedure) in ascending order within their Cockpit group.

The system allows an operator to sort running unit procedures by their order/workflow step identifier (order/workflow, unit procedure), treatment ID, or start time. The sorting types can be applied in ascending or descending order. Since the treatment ID can be identical for several runtime unit procedures, the start time is applied as second criterion.

The sorting type applies to the entire Cockpit and restarts within each Cockpit group.

The default sort order and criterion can be configured.

Treatment ID as criterion is not available with the default configuration.

For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.6 GID-2666864 PARALLEL OPERATIONS (SR3071.4.1.1.1)

If more than one operation has been started in parallel, the operator can switch between the running operations (see **Control Bar (SR3071.4.2.4.3)** area ([GID-2666854](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.7 GID-2666865 SEQUENCE OF IDLE OPERATIONS (SR3071.4.1.1.2)

Idle operations are presented in a defined sequence according to the SFC model of the recipe or workflow. In parallel branches, the presentation of the idle operations starts with the leftmost branch.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.8 GID-2666866 SCALE COMMUNICATION-RELATED LOCKING (SR3071.4.1.1.3)

If a scale communication is running within the currently active process, the system does not allow to start another or to switch to any other process.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.9 GID-2666867 INDICATOR FOR CURRENT UNIT PROCEDURE (SR3071.4.1.1.8)

The system marks the unit procedure of the last locally processed operation after the client was started.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.4.10 GID-3116125 INDICATOR FOR RUNNING UNIT PROCEDURES (SR3071.4.1.1.11)

The system highlights running unit procedures that have already been started and that currently are not detached.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.11 GID-2666868 SEARCH RUNNING UNIT PROCEDURES (SR3071.4.1.1.9)

The system allows to search for unit procedure(s). The intelligent filter is applicable to the visible text values on the unit procedure buttons.

For master recipe-related unit procedures for batches:

- Batch identifier,
- Order step identifier,
- Configured value (see **Configurable information of running unit procedures (SR3071.4.1.1.6.1)** section ([GID-2666861](#))).

For workflow-related unit procedures:

- Workflow processing name,
- Workflow step identifier (workflow, unit procedure),
- Configured value (see **Configurable information of running unit procedures (SR3071.4.1.1.6.1)** section ([GID-2666861](#))).

After running the search, the system changes the background color of all unit procedure buttons that match the defined search criteria and scrolls the **Running** processes panel until the first matching unit procedure is the first one visible at the top.

A station change resets the search criterion.

A user change retains an existing search criterion.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.12 GID-2666869 RETURN TO COCKPIT (SR3071.4.1.1.10)

If the operator returns from processing to the Cockpit with the control bar button, the system scrolls the display so that it shows the current unit procedure at the top.

If the operator

- completes the last operation of a unit procedure and a Cockpit search criterion is defined, then the system executes the **Search running unit procedures (SR3071.4.1.1.9)** function ([GID-2666868](#)),
- completes the last operation of a unit procedure and no Cockpit search criterion is defined, then the system scrolls the display until the first unit procedure according the sorting criteria (see **Sorting of running unit procedures (SR3071.4.1.1.7)** function ([GID-2666863](#))) shows at the top,
- does not complete the last operation of the unit procedure, the system scrolls the display until the current unit procedure shows at the top.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.13 STARTABLE PROCESSES

2.3.4.14 GID-2666871 GROUPING (SR3071.4.1.1.4)

One-click workflows are grouped according to the defined type in the Workflow Designer.

See also **Workflow - Header Attributes (SR3146.9.12.1)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.14.1 GID-3116111 COLLAPSE GROUP (SR3071.4.1.1.4.1)

Each group shall be vertically collapsible.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.4.14.2 GID-3116115 COLLAPSE ALL STARTABLE PROCESSES (SR3071.4.1.1.4.2)

All groupings of the **Startable Processes** shall be collapsible at once and together.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.5 *GID-2665764 Navigator (SR3071.4.2.3)*

The Navigator represents an operator's information and service point during the execution process. Specific to each unit procedure, the Navigator provides a historical view of the executed process steps. For each step, the operator can access basic and detail information as well as additional actions.

- The Phase column presents
 - a history view of the completed phases of the given unit procedure and
 - the active steps of the current operation.

The statuses (active, completed) are indicated by colors.

The identifier of the operation to which a phase belongs is displayed along with the phase identifier.

Phases and operations of looped processes can be run and completed several times. In these cases the system appends a count to their identifiers that indicates how often they have been run.

- The Information column
 - displays some key information for each completed phase (e.g. batch and subplot that was identified) and
 - provides access to the **Detail Information (SR3071.4.2.3.3)** window ([GID-2666874](#)) per phase (if applicable).

Phases for which an exception has been recorded are displayed with a red upper left corner as exception marker.

Since the historical view can contain many process steps, phase data is loaded as required to be displayed. A progress bar is displayed as long data loading is active.

- The Action column either
 - provides access to phase-specific actions that can be performed related to completed phases (if applicable, e.g. reprint of a subplot label as a **post-completion (SR1079.1.3)** exception ([GID-2666366](#))) or
 - provides access to general recovery actions that can be performed related to active phases (**recovery (SR1200.3+)** capabilities ([GID-2665854](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.5.1 GID-2666872 OPERATIONS RUNNING ON DIFFERENT DEVICES (SR3071.4.2.3.6)

For idle operations of the current unit procedure and the current device, the access to the phases of the operation is disabled in the Navigator. This applies to all columns, especially to post-completion exceptions.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.5.2 GID-2666873 LOOP COUNTER (SR3071.4.2.3.2)

Operations of looped processes can be run and completed several times. In these cases the system appends a count to their operation identifiers that indicates how often they have been run.

- First execution: no counter
- Second execution: counter = 2
- etc.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.5.3 GID-2666874 DETAIL INFORMATION (SR3071.4.2.3.3)

Through the Navigator, the system provides detail information per phase. The information includes:

- For batch processes:
 - batch record-related header data (incl. batch, order, and product information).
- For workflows:
 - workflow record-related header data (incl. processing name, workflow).
- Data of the phase, as presented within the specific report
- List of recorded exceptions (see **Exception management (SR1079+)** view ([GID-2665861](#)))
- Input panel for new exceptions or exception-related comments (see **Exception management (SR1079+)** view ([GID-2665861](#)))

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.5.4 GID-2666875 DATA PANEL FOR BATCH-RELATED PROCESSES (SR3071.4.2.3.4)

The data panel of the Navigator displays data of the:

- order identifier,
- batch identifier,
- unit procedure identifier and instance count (if > 1),
- material identifier, and
- material short description.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.5.5 GID-2666876 DATA PANEL FOR WORKFLOWS (SR3071.4.2.3.5)

The data panel of the Navigator displays data of the:

- workflow identifier,
- [workflow] Processing name, and
- unit procedure identifier and instance count (if > 1).

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6 GID-2665765 Execution Window (SR3071.4.2.4.2)

The Execution Window represents an operator's workspace during the execution process. Here, the operator performs the execution-related actions and registers process-relevant data.

Buttons can be placed in the work area in order to confirm the completion of the current step.

Phases for which an exception has been recorded are displayed with a red upper left corner as exception marker.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.1 GID-2666877 LISTED PHASES (SR3071.4.2.4.2.1)

The work area displays active phases for execution, as well as recently completed previous phases (of the same operation) and subsequent phases that are not active yet.

Subsequent phases are shown up to the next branching that represents a decision point.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.2 GID-2666878 ACTIVE PHASES (SR3071.4.2.4.2.2)

The work area displays the phases according to their status:

- Preview of a phase: disabled

If the required information or input is not available yet, the preview shows a corresponding system message.

- Active phase(s): highlighted
- Completed phase(s): disabled with OK symbol

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.3 GID-2666879 PARALLEL PHASES (SR3071.4.2.4.2.3)

During execution, the work area displays parallel phases in a defined sequence, starting with the left phase of the parallel branch.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.4 GID-2666880 PREVIEW OF PHASES (SR3071.4.2.4.2.4)

During execution, the preview of phases behaves as listed below:

- For parallel branches, the sequence of preview steps is not changed (no re-ordering).
- For loops, the active loop phase appears just after the previous phase that was executed before the loop started.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.5 GID-2666881 RESUME IN CASE OF A HIGH NUMBER OF PHASES (SR3071.4.2.4.2.5)

In case of a resumed operation with a number of completed phases higher than configured, the Execution Window displays

- only the maximum number of completed phases (as configured) and
- the preview of phases is disabled.

For configuration details, see **MAX_COUNT_OF_COMPLETED_PHASES** configuration key in chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.6.6 GID-2666882 SCROLLING (SR3071.4.2.4.3.1)

The Page up and Page down capabilities apply to any kind of information provided by phases, so that information is available to the operator regardless of the size of a phase UI.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.7 GID-2665766 Actions of the Header Bar (SR3071.4.8)

The Header Bar provides the following actions:

- Register at Station Constraints (SR3071.4.8.1) ([GID-2666883](#)) and Register at Station Configuration and Scanner Support (SR3071.4.8.2) ([GID-2666884](#))
- Switch to Cockpit (SR3071.4.1.1) ([GID-2665763](#))
- Open Production Execution Viewer with Open Order or Workflow in Viewer (SR1089.1.16) ([GID-2665800](#))
- Help and About buttons provide access to the help system and the About dialog
- Change user

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.7.1 GID-2666883 REGISTER AT STATION CONSTRAINTS (SR3071.4.8.1)

The **Register at Station** action is only allowed if all running operations are either completed or put on hold (e.g. detached) and no other process or workflow is running.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.7.2 GID-2666884 REGISTER AT STATION CONFIGURATION AND SCANNER SUPPORT (SR3071.4.8.2)

The **Register at Station** action can be triggered in the following ways:

- operator taps the button or
- operator scans a station barcode.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.7.3 GID-2666885 USER ACCESS TO STATION CONSTRAINTS (SR3071.4.8.3)

To run the Production Execution Client on a specific station, a user must be authorized according to the access privilege assigned to the station. This applies to:

- Login
- User change
- Register at station by dialog
- Register at station by barcode scan.

The system allows to define an access privilege for the protection of master recipes and master workflows from unauthorized access. Subsequently, it shall only allow to run the Production Execution Client on a specific station if the currently running processes and workflows are not protected by an access privilege or their access privilege matches the access privilege of the logged-in user.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.7.4 GID-2666886 USER CHANGE CONSTRAINTS (SR3071.4.8.3.1)

The following business logic applies to the **Change User** action if the user who logs in is not authorized to run the Production Execution Client on the current station:

- If all previously running operations have been set on hold (e.g. detached) and no other processes or workflows are running, the system allows to log in, but only the actions of the **Header Bar** are available in the Cockpit.
- If there are still operations, processes, or workflows running, the system does not allow the user to log in.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.7.5 GID-2666887 EXIT CONSTRAINTS (SR3071.4.8.5)

The **Exit** action is only allowed if all previously running operations have been set on hold (e.g. detached) and no other process or workflow is running.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.8 Identify Resources by Label Information (SR1094.17+)

The system supports the identification of resources by their label information.

2.3.8.1 USAGE OF IDENTIFICATION DEVICES (SR1094.17.1+)

The system supports the usage of barcode reading devices in order to identify resources.

2.3.8.2 GID-2666890 BARCODE SYMOLOGIES (SR1094.17.1.1)

The system validates and processes the following barcode symbologies, at minimum by supporting the devices that can process these barcode encoding standards:

- Code 128
- Code 39

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.8.3 GID-2666891 INCORRECT BARCODE (SR1094.17.1.1.1)

Applies to pre-defined inventory workflows only.

The system does not allow the processing of wrongly coded barcode information.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.8.4 UNIQUE SUBLot (SR1094.17.1.1.2+)

Unique subplot/barcode

2.3.8.5 GID-2666893 SINGLE BARCODE - UNIQUE SUBLot (SR1094.17.1.1.2.1)

Applies to pre-defined inventory workflows only.

The system ensures that a label scan performed by the manufacturing operator only leads to the identification of one unique subplot.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.8.6 GID-2666894 UPDATE DATA AFTER IDENTIFICATION (SR1094.25)

Applies to pre-defined inventory workflows only.

After a successful identification of an input material, the system stores the data related to the identification step.

For details of material identification with barcode scanning during order execution, see **Identify material phase (SR0200)** in "Functional Requirement Specification Dispense and Inline Weighing" [A8] ([GID-2665873](#)) and **Identify material phase (SR0050)** in "Functional Requirement Specification Material Tracking Phases" [A9] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.9 Start Processing by Scanning (SR3071.4.9+)

2.3.9.1 GID-2666895 START BATCH OR WORKFLOW PROCESSING (SR3071.4.9.1)

In the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)), the Batch Processing Selection Window view, and the Workflow Processing Selection Window view, the system allows an operator to start the processing of a unit procedure by scanning a batch- or treatment ID-related barcode. The barcode corresponds to the batch identifier of the material to be produced or the treatment ID of a workflow or batch order, respectively.

The system displays an appropriate message in case a unit procedure cannot be started for the scanned batch due to the following situations:

- No unit procedure for the scanned batch is available for processing at the current work center.

The system displays an appropriate message in case a unit procedure cannot be started for the scanned treatment ID due to the following situations (Scanned in the Cockpit view):

- If for the scanned treatment ID there are unit procedures of workflows and batch orders available for processing at the current work center, the system cannot determine which unit procedure to start.

The system displays an appropriate message in case a unit procedure cannot be started for the scanned treatment ID due to the following situations (scanned in the Workflow Processing Selection Window view):

- No unit procedure for the scanned treatment ID is available for processing at the current work center.

If for the scanned batch or treatment ID, more than one unit procedure is available for processing at the current work center, the system cannot determine which unit procedure to start. In this case, the Batch or Workflow Processing Selection Window view shall be filtered to display only the unit procedures of the batch- or treatment ID-relevant order available for processing at the current work center.

With the default system configuration, the support of treatment ID scanning is disabled.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.10 GID-2665769 Confirm by Scanning (SR3071.4.2.5)

Operators can confirm a certain process step by scanning a barcode rather than tapping a button. Thus, navigation through a process or workflow can be done faster.

The barcode (e.g. 2D barcode) can be placed on the related button and scanned from the screen.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.11 GID-2665770 Server Heartbeat Check (SR3071.4.1.2)

The system periodically runs a check of the required server communication. In case a communication error is detected, the system displays an appropriate message at each of the running Production Execution Clients.

The list of servers that are included in the heartbeat check can be configured by a system administrator. Per default, the check applies to the following servers:

- Electronic Batch Recording (EBR) server
It controls the execution of EBR recipes and workflows and can process incoming messages from a Distributed Control System.
- Triggered Operation Management (TOM) server
It manages event-triggered operations.
- Operation Execution (OE) server
It controls the execution of server-run operations.
- Automation Integration (AI) server
It controls the communication with automation-related systems.
- Transition server
It performs automatic, system-triggered status changes on objects, such as master recipes, master workflows, batches, orders, workflows, or equipment entities and can process incoming messages from external systems, such as a Quality Management System or Warehouse Management.

For configuration details, see chapter "Installing FT PharmaSuite" in "Technical Guide Installation" [A6] [\(GID-2665873\)](#).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.12 GID-2665771 Automatic Locking (SR3071.4.1.4)

The system detects user activity, including mouse movement, mouse clicks, and keyboard, touch, and barcode actions at a Production Execution Client. In case no user activity is detected for a certain amount of time, the system locks the client with the display of the **Change User** dialog in order to prevent unauthorized activity at the Production Execution Client. When a client is unlocked, the **User Access to Station Constraints (SR3071.4.8.3)** checks ([GID-2666885](#)) and **User Change Constraints (SR3071.4.8.3.1)** checks ([GID-2666886](#)) apply.

By default, automatic locking is enabled. It can be disabled. The inactivity timeout can be configured.

For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

2.3.13 GID-2665772 OE Server-specific Error Message (SR3071.4.1.3)

In case the system determines issues during processing that are related to the Operation Execution (OE) server or its running operations or phases, the system automatically broadcasts an error message and displays it at the running Production Execution Clients.

- Issues related to the execution of phases or operations result in error messages at the Production Execution Clients of the work centers of the unit procedure.
- Issues not related to a specific work center result in error messages at all running Production Execution Clients.

Processing issues that result in an error message at a Production Execution Client include:

- Phase-related issues that are caused by implementation errors of a phase.
- Phase-related issues that can be handled by the phase itself, but that are routed to the OE server error message mechanism by design.
- OE server-related issues that may occur while running the OE server, e.g. messaging, communication to other servers, or database connectivity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.14 Work-in-process Management (SR1094+)

The system supports work-in-process management.

2.3.14.1 GID-2666896 ATOMIC TRANSACTIONS AND TRACEABILITY (SR1094.8)

All activities during process execution on the shop floor that affect the inventory trigger the recording of transaction log entries as defined in "Functional Requirement Specification Data Management"

[A7] [\(GID-2665873\)](#). At least this has to be performed for the following activities:

- creation of a batch,
- creation of a subplot,
- quantity changes of a subplot, and
- relocation of a subplot.

Sufficient tracking information is recorded to assure the backward and forward traceability for batches and sublots, i.e. for a certain point in time it is possible to trace all inventory transactions that have been performed before and afterwards.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.14.2 GID-2666897 UoM CONVERSION DURING EXECUTION (SR1094.47)

The system supports unit of measure conversion factors, so that different units of measure can be used.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.14.3 GID-2666898 REVIEW OF CONVERSION FACTOR (SR1094.47.1)

The batch record contains the original data that is related to quantities and conversion factors.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.14.4 GID-2666899 REVIEW QUANTITY OF CONVERSION FACTOR (SR1094.47.1.1)

The system stores original values including units of measure, if applicable, that have been retrieved by user input or via interfaces. This is for documentation purposes.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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2.3.14.5 GID-2666900 HIERARCHY OF CONVERSION FACTORS (SR1094.47.2)

The system supports a hierarchy of conversion factors, starting at the most-specific conversion factor, if available:

- Material-specific conversion
- System-specific conversion

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.3.15 GID-3116150 UI Themes (SR3071.4.1.7)

The Production Execution Client shall be able to run in a light and a dark theme.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.4 GID-2665774 Set Initial Station (SR3071.4.3.2.1)

PharmaSuite provides a function to set the initial station with which the Production Execution Client is started.

If no station has been selected, in the Cockpit of the Production Execution Client only the actions of the **System** group are available.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.5 PEC Station Change Triggered by an External System (SR9002+)

Within a highly automated plant, an operator is responsible for many work centers and wants to have a central access to all of them from one work station.

An example: The operator has a dashboard showing all work centers of a room. From this dashboard, the operator can switch to a running PEC for the selected station and work center. The same PEC may be reopened from the same dashboard but for a different station afterwards. The station change shall be executed automatically.

2.5.1 GID-2665776 Invoke a PEC (SR9002.1)

With an external trigger, an already running PEC shall be brought to the front. The PEC is addressed by the device ID.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

2.5.2 GID-2665777 Register or Change Station (SR9002.2)

If the Cockpit of the invoked PEC is not active, an error message is shown and the action is aborted.

If the current station and work center of the invoked PEC does not match the requested one, the **Register at Station** function for the required station is executed. The **User Access to Station Constraints (SR3071.4.8.3)** checks ([GID-2666885](#)) and the **Register at Station Constraints (SR3071.4.8.1)** checks ([GID-2666883](#)) must be performed successfully. If a check fails and the station cannot be registered, the system displays an appropriate error message.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.5.3 GID-2665778 Change Station on PEC with Missing Login (SR9002.3)

In case the PEC is locked or no user is logged in when the PEC is invoked, the user login or the user change dialog is displayed, respectively.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.6 GUI Components and Navigation for Pre-defined Workflows (SR3071.4.2+)

PharmaSuite provides the following GUI components and navigation capabilities for pre-defined workflows that are started from the Cockpit.

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2.6.1 GID-2665780 GUI Areas (SR3071.4.2.1)

Applies to pre-defined workflows only.

The UI provides all information required for the current process step in a well-arranged way. It is separated into three different areas:

- Status bar (SR3071.4.2.1.3)
- Work area (SR3071.4.2.1.2)
- Navigation bar (SR3071.4.2.1.1)

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.6.1.1 GID-2666901 NAVIGATION BAR (SR3071.4.2.1.1)

Applies to pre-defined workflows only.

The UI provides a navigation bar to navigate between the different workflow steps. Already closed steps can be viewed, but not changed anymore.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.6.1.2 GID-2666902 ALTERNATIVE WORKFLOW STEPS (SR3071.4.2.1.1.2)

Applies to pre-defined workflows only.

If the next workflow step is a fork, the system displays the alternative steps.
Fork means that there is more than one possible next step available.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

2.6.1.3 GID-2666903 WORK AREA (SR3071.4.2.1.2)

Applies to pre-defined workflows only.

The UI provides a work area where required information for the current step is displayed or needed input can be performed.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.6.1.4 GID-2666904 STATUS BAR (SR3071.4.2.1.3)

Applies to pre-defined workflows only.

The UI provides a status bar to display the current work center, the local time, information about the current step (step or activity name), and to give access to the help system. Other general functions, like cancel and switch to the list of workflows in the Cockpit are available, if required.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

2.6.2 GID-2665781 Session Handling (SR3071.4.2.2)

Applies to pre-defined workflows only.

The system supports session handling and allows roll-back.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3 Electronic Batch and Workflow Recording (SR1089+)

This section provides the requirements relevant to electronic batch and workflow recording:

- **Execution framework (SR1089.1)** requirements ([GID-2665783](#))
- **Workflow specifics (SR1089.7+)** requirements ([GID-2665801](#))
- **Resuming the execution (SR1089.2)** requirements ([GID-2665806](#))
- **Unit procedure-related Capabilities (SR1089.8+)** requirements ([GID-2665807](#))
- **Operation-related Capabilities (SR1089.6+)** requirements ([GID-2665814](#))
- **Specific API support for building blocks (SR1089.3+)** requirements ([GID-2665821](#))
- **Signature for phase completion (SR1089.4+)** requirements ([GID-2665846](#))
- **EBR user experience (SR1089.5+)** requirements ([GID-2890123](#))

3.1 GID-2665783 Execution Framework - Basics (SR1089.1)

The execution framework allows to execute control recipes and workflows within Production Execution Client.

This includes:

- Start the execution of unit procedures upon selection of the respective order step or workflow step.
Order steps of the **Dispense** type are only available for selection at work centers of the **Dispense** type.
See also the **Start Order Step (SR1094.9)** requirement (GID-2373438).

The following status changes apply:

ORDER/WORKFLOW STEP

The system sets the order/workflow step status to **In process** (see **Status Management of Order Steps (SR1094.11)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#))).

UNIT PROCEDURE

The system sets the unit procedure status to **Running**.

ORDER/WORKFLOW

The system sets the order/workflow status to **In process** when the first order/workflow step of an order/workflow is started (see **Status Management of Orders (SR1084.4)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#))).

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- Start the execution of a one-click workflow upon selection of the respective workflow.

The following status change applies:

UNIT PROCEDURE

The system sets the unit procedure status to **Running**.

- Execution of individual building blocks per S88-based recipe or workflow definition.
- Finish an order step or workflow step upon confirmation of the last phase.
See also the **Finish Order Step (SR1094.10)** requirement ([GID-2665787](#)).

The following status changes apply:

ORDER/WORKFLOW

The system sets the order/workflow step status to **Finished** (see **Status Management of Order Steps (SR1094.11)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#))).

UNIT PROCEDURE

The system sets the unit procedure status to **Completed**.

ORDER/WORKFLOW

The system sets the order/workflow status to **Finished** when the last order/workflow step of a recipe/workflow path of an order/workflow is finished (see **Status Management of Orders (SR1084.4)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#))).

- Execution of reactivated order steps or workflow steps.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.1 **GID-2665784 Batch Processing (SR1089.1.13)**

The system supports the processing of batch-specific control recipes as an order-related process. The control recipe is based on a master recipe designed with Recipe Designer.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.1.1 GID-2666905 SELECTING ORDER STEPS TO START BATCH PROCESSING (SR1089.1.13.1)

The system allows the operator to select one unit procedure to start batch processing.

The system provides a Selection Window with the following batch processing-specific attributes:

- Order step identifier
- Order step status
- Material identifier
- Material description
- Treatment ID (configurable)
- [Planned] Quantity
- Target batch
- ERP start date
- ERP end date

The intelligent filter of the grid is applicable to the text values of any column.

In addition, startable unit procedures can be filtered by status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.2 GID-2665785 Workflow Processing (SR1089.1.15)

The system supports the processing of a workflow as a request-related process. The master workflow is designed with Workflow Designer. The request character is noticeable by the fact that the workflow has already been created and released in the Production Management Client prior to its execution in the Production Execution Client.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.2.1 GID-2666906 SELECTING WORKFLOW STEPS TO START WORKFLOW PROCESSING (SR1089.1.15.1)

The system allows the operator to select one unit procedure to start workflow processing.

The system provides a Selection Window with the following workflow processing-specific attributes:

- [Workflow] Processing name
- Workflow step [identifier (workflow, unit procedure)]
- [Workflow step] Status
- [Workflow] Type
- [Workflow] Short description
- Treatment ID (configurable)
- Detail
- Planned start [timestamp]
- Planned end [timestamp]

The intelligent filter of the grid is applicable to the text values of any column.

In addition, startable unit procedures can be filtered by status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.3 GID-2665786 Start Order Step (SR1094.9)

The system allows the manufacturing operator to start an order step.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.4 GID-2665787 Finish Order Step (SR1094.10)

The system allows an operator to finish an order step.

An order step is finished automatically after the operator completes the last operation of a unit procedure.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.4.1 GID-2666907 CONSUME SUBLOTS WITH LAST ORDER STEP (SR1094.10.1)

In case a Dispensing order step is finished and no other order steps are following, the system can either automatically consume the generated target sublots during the order step finish or keep the target sublots including their given quantities.

The actual system behavior can be configured. The default configuration is set to automatic consumption of new target sublots.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.5 GID-2665788 Distributed Execution (SR1089.1.1)

Distributed execution is supported.

Process flow of S88 operations and phases is controlled on **client level** and the process flow of S88 unit procedures is controlled on **server level**.

For server-run operations, operations and phases run on the Operation Execution server (see **Server-run capability (SR3146.9.5.9.5)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.6 GID-2665789 Unit Procedure Level Branching (SR1089.1.2)

For unit procedures, the system supports

- sequential execution,
- parallel execution, and
- XOR branching.

Loops are not supported for unit procedures.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.7 GID-2665790 Operation Level Branching (SR1089.1.3)

For operations, the system supports

- sequential execution,
- parallel execution,
- XOR branching, and
- loops.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.8 GID-2665791 Phase Level Branching (SR1089.1.4)

For phases, the system supports

- sequential execution,
- parallel execution,
- XOR branching, and
- loops.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9 GID-2665792 Information Flow during Execution (SR1089.1.5)

During execution, the system supports the information flow between operational elements, based on the configuration of input and output variables during recipe and workflow authoring.

The output value of a procedural element that has not been completed is Null.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.1 GID-2666908 DEFAULT PREVIEW AT RUNTIME (SR1089.1.5.1)

During execution, the system provides a default preview of a phase in case the phase returns a preview-related error (e.g. due to input parameters not being available).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.2 PHASE OUTPUTS

3.1.9.2.1 GID-2667340 MULTIPLE PHASE INSTANCES WITHIN AN OPERATION (SR1089.1.5.2)

Multiple instances of a phase result from loops within an operation.

If the output variable of such a phase is referenced, the result is always the value of the output variable of the latest completed instance of that phase.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.2.2 GID-2667341 MULTIPLE INSTANCES OF OPERATIONS (SR1089.1.5.4)

Multiple instances of operations result from loops within a unit procedure or from multiple runs of an **event-triggered operation (SR1089.6.2.1)** procedural element ([GID-2666934](#)).

If the output variable of a phase of such an operation is referenced, the result is always the value of the output variable of this phase in the context of the operation with the highest instance count. This also applies to instances of event-triggered operation templates.

In case an event-triggered run has been canceled or an event-triggered operation template has been removed without any executed run, those instances are ignored, even if their instance count is the highest one.

If multiple instances of that phase exist within the given operation instance, still the **Multiple phase instances within an operation (SR1089.1.5.2)** feature ([GID-2667340](#)) applies.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.9.2.3 GID-2667342 MULTIPLE INSTANCES OF UNIT PROCEDURES (SR1089.1.5.5)

Multiple instances of unit procedures result from reactivated unit procedures.

If the output variable of a phase within such a unit procedure is referenced, the result is always the value of the output variable of this phase in the context of the unit procedure with the highest instance count.

If multiple instances of that phase exist within an operation instance of that specific unit procedure instance, still the **Multiple phase instances within an operation (SR1089.1.5.2)** feature ([GID-2667340](#)) applies.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.3 OPERATION OUTPUTS

In case an operation is defined as an event-triggered template during recipe authoring in Recipe Designer, PharmaSuite references the outputs of the corresponding operation templates and not the generated operation instances of the template.

3.1.9.3.1 GID-2667343 MULTIPLE INSTANCES OF OPERATIONS (SR1089.1.5.6)

Multiple instances of operations result from loops within a unit procedure.

If the output variable of such an operation is referenced, the result is always the value of the output variable of the latest completed instance of that operation.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.3.2 GID-2667344 MULTIPLE INSTANCES OF AN EVENT-TRIGGERED OPERATION TEMPLATE (SR1089.1.5.7)

Multiple instances of event-triggered operation templates result from loops within a unit procedure.

If the output variable of such an operation template is referenced, the result is always the value of the output variable of the latest completed instance of that operation template. Template instances without executed runs are also included.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.3.3 GID-2667345 MULTIPLE INSTANCES OF UNIT PROCEDURES (SR1089.1.5.8)

Multiple instances of unit procedures result from reactivated unit procedures.

If the output variable of an event-triggered operation template within such a unit procedure is referenced, the result is always the value of the output variable of this operation template in the context of the unit procedure with the highest instance count.

If multiple instances of that operation template exist within that specific unit procedure instance, still the **Multiple Instances of an Event-triggered Operation Template (SR1089.1.5.7)** feature ([GID-2667344](#)) applies.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.9.4 GID-2666911 POST-COMPLETION UPDATE OF OUTPUT VARIABLES (SR1089.1.5.3)

In case an output variable is related to a value that has been updated by means of a post-completion exception, the updated output variable is used as input for subsequent process parameter expressions and transition conditions. This only applies to phases and transitions that have not been activated yet while the update occurs.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.10 GID-2665793 One Operation at Multiple Work Centers (SR1089.1.6)

Applies to the execution of control recipes only.

During execution, the system allows to process an order step of the **Dispense** type at multiple work centers of the **Dispense** type at the same time.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.11 GID-2665794 Operation Context (SR1089.1.7)

Applies to the execution of control recipes only.

The system can manage specific context information on operation level and make it available to the related phases.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.12 GID-2665795 Campaign Execution (SR1089.1.8)

Applies to the execution of control recipes only.

The system supports the execution of Dispense campaigns (Material processing).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.12.1 GID-2666912 ADD MATERIAL (SR1089.1.8.1)

The system provides a list of materials to the operator that are available for processing, allows to add materials to the campaign, and to remove materials from the campaign.

The selection of materials is persistent.

The Selection Window provides the following material processing-specific attributes:

- Material identifier
- Material description
- Remaining quantity
- Allocated batch
- Order identifier
- Target batch
- Material (product) identifier
- Material (product) description
- [Work center] Cleaning [status]
- [Order step] Status

The intelligent filter of the grid is applicable to the text values of any column.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.1.12.2 GID-2666913 EXECUTE UNIT PROCEDURE (SR1089.1.8.2)

During processing of materials within a campaign, the system executes the Dispense unit procedure of the related order. Only materials that belong to the campaign are visible and available for processing.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.12.3 GID-2666914 UPDATE CAMPAIGN (SR1089.1.8.3)

The system allows to add materials to or remove materials from an already started campaign.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.12.4 GID-2666915 MATERIALS BOUND TO DIFFERENT WORK CENTERS (SR1089.1.8.4)

For materials that are already selected for a campaign or already identified at a different work center, the respective work center identifier is represented in the **Status** column of the material processing grid.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.12.5 GID-2666916 EXECUTION IS BOUND TO WORK CENTERS OF DISPENSE TYPE (SR1089.1.8.5)

The execution of Dispense campaigns (Material processing) is only possible at work centers of the **Dispense** type.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.13 GID-2665796 Parallel Operations on Different Stations (SR1089.1.9)

Applies to the execution of control recipes only.

During execution and for a given work center, the system allows to process parallel operations on different stations at the same time.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.14 GID-2665797 Parallel Operations on Different Devices (SR1089.1.10)

Applies to the execution of control recipes only.

During execution and for a given station, the system allows to process parallel operations on different devices at the same time.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.15 GID-2665798 One Device per Work Center of Dispense Type (SR1089.1.11)

During execution, the system allows only one device to be connected to a work center of the **Dispense** type.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.16 GID-2665799 System Recovery after Server Restart (SR1089.1.12)

Upon restart of a PharmaSuite server component, the system is able to recover and to retrieve the actual system status information from the database, so that the execution can be continued.

This applies to the following servers:

- Electronic Batch Recording (EBR) server
It controls the execution of EBR recipes and workflows and can process incoming messages from a Distributed Control System.
- Triggered Operation Management (TOM) server
It manages event-triggered operations.
- Operation Execution (OE) server
It controls the execution of server-run operations.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.1.17 GID-2665800 Open Order or Workflow in Viewer (SR1089.1.16)

A unit procedure button action, an operation button action and a header bar button action allows to view the current order or workflow in the Production Execution Viewer.

As prerequisite, the Production Execution Viewer needs to run already on the local device of the Production Execution Client. If the Production Execution Viewer has not been started the user is informed with an error message.

In case the action is called from a unit procedure button, the Production Execution Viewer opens the related order or workflow graph with this unit procedure in a tab of the Graph Window. If no operation of the unit procedure has been started yet, the graph element of the unit procedure is displayed. If any operation of the unit procedure has already been started, the graph with the started operation is displayed.

In case the action is called from an operation or event-triggered operation button, the Production Execution Viewer opens the related order or workflow graph with this operation in a tab of the Graph Window. If the operation has not yet been started, the graph element of the operation is displayed. If the operation has been started, the graph of the operation with its phases is displayed.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

3.2 Workflow Specifics (SR1089.7+)

3.2.1 GID-2665802 Validity check for one-click startable workflows (SR3071.4.3.2.2)

Only workflows can be started for execution that are in the **Valid** status after they have been approved in the Workflow Designer.

See also **Version Control (SR3146.4.5)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.2.2 GID-2665803 Start and append workflows (SR1089.7.1)

The system allows to define an access privilege for the protection of master recipes and master workflows from unauthorized access. Subsequently, it shall only allow to select a workflow for starting and an order for appending whose access privilege matches the access privilege of the logged-in user.

The system allows the operator to start and optionally append a workflow to a specific order step of a batch-specific order.

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A started workflow can be appended to a running batch-specific unit procedure if:

- the **Appendable during processing** attribute is set,
- the workflow is not in the **Canceled** status, and
- the unit procedure is visible in the Cockpit of the current device.

If the workflow cannot be appended, the system displays an appropriate message.

Appended workflows are considered as **Production-relevant**. This affects the **Purge workflow (SR1085.2.11)** operation, see "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).

Exported workflows cannot be appended to an order according to the **Export Workflow for Archive (SR1085.2.10)** operation, see "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.2.3 *GID-2665804 Select unit procedure to append workflow (SR1089.7.1.1)*

The system allows to define an access privilege for the protection of master recipes from unauthorized access. Subsequently, it shall only allow to select a unit procedure of an order whose access privilege matches the access privilege of the logged-in user.

If more than one batch-specific unit procedure is available for the workflow to be appended to, the system allows the operator to select a specific running unit procedure.

The system provides a Selection Window with the following unit procedure-specific attributes:

- Unit procedure name
- Order identifier
- Actual start date

The intelligent filter of the grid is applicable to the text values of any column.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.2.4 GID-2665805 Append workflow-specific exception at workflow start (SR1089.7.1.2)

The append operation is associated with an append workflow-specific exception on unit procedure level. The exception requests a pre-defined signature according to the **PEC_Signature_AppendWorkflowsToOrder** access privilege for recording. In the default configuration, the exception is deactivated.

The append workflow-specific exception is an exception of the **user-triggered (SR1079.1.2)** category (GID-2373647).

Upon confirmation of an append workflow-specific exception, the exception is recorded for the unit procedure to which the workflow is appended. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the activation of the exception, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Manual Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.3 GID-2665806 Resuming the Execution (SR1089.2)

The system allows to resume the execution of a control recipe or workflow where it has been left off. This applies to the unit procedure and the operation levels.

In case of a resumed operation with a high number of completed phases, see **Resume in Case of a High Number of Phases (SR3071.4.2.4.2.5)** requirement ([GID-2666881](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4 Unit Procedure-related Capabilities (SR1089.8+)

3.4.1 Detaching a Unit Procedure (SR1089.8.4+)

3.4.1.1 GID-2666917 DETACH UNIT PROCEDURE (SR1089.8.4.1)

The system allows an operator to detach a running unit procedure from its work center and station. The availability of the detach action during execution is defined in the master recipe.

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A unit procedure can only be detached if

- it is not in the **Paused** status ,
- all operations of the unit procedure that are running on a client are either completed or detached, and
- no scale is bound in the context of the unit procedure (applies to Inline Weighing and Output Weighing).

If the unit procedure cannot be detached, the system displays an appropriate message.

A detached unit procedure and its operations are no longer visible in the **Cockpit (SR3071.4.1.1)** view ([\(GID-2665763\)](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.1.2 GID-2666918 DETACH-SPECIFIC EXCEPTION (SR1089.8.4.2)

The detach operation for a unit procedure can be associated with a detach-specific exception on unit procedure level. The availability of the exception during execution is defined in the master recipe. The detach-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([\(GID-2666365\)](#)).

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([\(GID-2665861\)](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.1.3 GID-2666919 RECORDING DETACH-SPECIFIC EXCEPTIONS (SR1089.8.4.2.1)

Upon confirmation of a detach-specific exception, the exception is only recorded for the unit procedure.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.1.4 GID-2666920 RESUME COMMENT OF DETACH-SPECIFIC EXCEPTIONS (SR1089.8.4.2.2)

Upon resume of a formerly detached unit procedure, the system automatically adds a comment to the related detach-specific exception. This comment records the timestamp of the resume action.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.2 GID-2665809 Context-related Actions (SR1089.8.1)

The system provides the following actions related to unit procedures in an Actions dialog:

- **Pause (SR1089.8.3)** action ([GID-2665811](#))
- **Abort and reactivate (SR1089.8.5)** action ([GID-2665812](#))
- **Open order or workflow in Viewer (SR1089.1.16)** action ([GID-2665800](#))
- **Append workflow (SR1089.8.2)** action ([GID-2665810](#))
- **Cancel workflow (SR1089.8.6)** action ([GID-2665813](#))

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.3 GID-2665810 Appending Workflows to a Unit Procedure (SR1089.8.2)

The system allows to define an access privilege for the protection of master workflows from unauthorized access. Subsequently, it shall only allow to select a workflow whose access privilege matches the access privilege of the logged-in user.

The system allows the operator to select and append workflows to a specific order step of a batch-specific order.

A workflow can be appended to a running batch-specific unit procedure if the **Appendable during processing** attribute is set, the workflow has been started, and the workflow is not in the **Canceled** status.

If the workflow cannot be appended, the system displays an appropriate message.

Appended workflows are considered as **Production-relevant**. This affects the **Purge workflow (SR1085.2.11)** operation, see "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).

Exported workflows cannot be appended to an order according to the **Export Workflow for Archive (SR1085.2.10)** operation, see "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.3.1 GID-2666921 SELECTING WORKFLOW TO APPEND TO UNIT PROCEDURE (SR1089.8.2.1)

The system allows to define an access privilege for the protection of master workflows from unauthorized access. Subsequently, it shall only allow to select a workflow whose access privilege matches the access privilege of the logged-in user.

The system allows the operator to select one or more workflow processes to be appended to the current unit procedure of a batch-specific order.

The system provides a Selection Window with the following workflow-specific attributes:

- [Workflow] Processing name
- Workflow identifier, [Workflow] Status
- Master workflow identifier
- Master workflow short description
- Executed at work center
- Actual start date
- Actual finish date

Workflows already appended to the current unit procedure are not selectable.

The following options allow to control the grid rows to be displayed:

- Intelligent filter of the grid is applicable to the text values of any column.
Default: no filter
- Filter on time periods since the workflow has been started
Default: Last eight hours
- Filter on the workflow step status
Default: Finished
- Filter if workflow run on the current work center only
Default: Yes

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

- Electronic Batch and Workflow Recording (SR1089+)

3.4.3.2 GID-2666922 APPEND WORKFLOW-SPECIFIC EXCEPTION DURING UNIT PROCEDURE PROCESSING (SR1089.8.2.2)

The append operation is associated with an append workflow-specific exception on unit procedure level. The exception requests a pre-defined signature according to the **PEC_Signature_AppendWorkflowsFromRtUnitProcedure** access privilege for recording. In the default configuration, the exception is deactivated.

The append workflow-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

Upon confirmation of an append workflow-specific exception, the exception is recorded for the unit procedure to which the workflows are appended. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the activation of the exception, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Manual Configuration and Extension" [A11] ([GID-2665873](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Manual Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.4 GID-2665811 Pausing a Unit Procedure (SR1089.8.3)

The system allows the operator to pause and resume a paused unit procedure. The availability of the Pause-enabled capability of a unit procedure during execution is defined in the master recipe.

Only pause-aware phases are affected. Other phases can still be processed.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.4.1 GID-2666923 GRAPHICAL REPRESENTATION OF A PAUSED UNIT PROCEDURE (SR1089.8.3.1)

The **Paused** status is represented in the notification bar of the **header bar (SR3071.4.2.4.1)** area ([GID-2666853](#)) and in the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)) by a notification marker to the left of the unit procedure.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.4.2 GID-2666924 PAUSE UNIT PROCEDURE-SPECIFIC EXCEPTION (SR1089.8.3.2)

The pause operation can be associated with a pause unit procedure-specific exception on unit procedure level. The availability of the exception during execution is defined in the master recipe. The pause unit procedure-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

Upon confirmation of a pause unit procedure-specific exception, the exception is recorded.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.4.3 GID-2666925 RESUME COMMENT OF PAUSE UNIT PROCEDURE-SPECIFIC EXCEPTIONS (SR1089.8.3.2.1)

Upon resume of a formerly paused unit procedure, the system automatically adds a comment to the related pause unit procedure-specific exception. This comment records the timestamp of the resume action.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.5 GID-2665812 Reactivating a Unit Procedure (SR1089.8.5)

The system allows the operator to abort and reactivate a running unit procedure. The availability of the "abort and reactivate" action during execution is defined in the master recipe.

If an operation of the unit procedure is running at another station or work center, the system displays an appropriate message at each of the related Production Execution Clients.

For reactivating a unit procedure, similar preconditions apply as for the **detaching a unit procedure (SR1089.8.4.1)** function ([GID-2666917](#)).

- The unit procedure is not in the **Paused** status ,
- uninterrupted operations of the unit procedure that are running on a client are either completed or detached, and
- no scale is bound in the context of the unit procedure (applies to Inline Weighing and Output Weighing).

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If the preconditions are violated, the system displays an appropriate message.

A reactivated unit procedure and its operations are no longer visible in the **Cockpit** (**SR3071.4.1.1**) view ([GID-2665763](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.5.1 GID-2666926 REACTIVATE UNIT PROCEDURE-SPECIFIC EXCEPTION (SR1089.8.5.1)

The "abort and reactivate" operation can be associated with a specific exception on unit procedure level. The availability of the exception during execution is defined in the master recipe.

The reactivate unit procedure-specific exception is an exception of the **user-triggered** (**SR1079.1.2**) category ([GID-2666365](#)).

The system automatically records an "abort unit procedure"-specific exception for all active phases of the unit procedure. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.5.2 GID-2666927 RECORDING REACTIVATE UNIT PROCEDURE-SPECIFIC EXCEPTION (SR1089.8.5.2)

Upon confirmation of a reactivate unit procedure-specific exception, the exception is recorded for the running unit procedure and the unit procedure is aborted.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.6 GID-2665813 Cancel a Workflow (SR1089.8.6)

The system allows the operator to cancel a workflow.

- If the workflow is linked to a unit procedure of a batch-specific order, the workflow cannot be canceled unless the link has been removed. The system displays an appropriate message.

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- When a workflow is canceled,

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature (GID-2374359).

For details related to the activation of the exception, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] (GID-2451997).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] (GID-2451997).

- the system sets the status of a workflow to **Canceled** (see **Status Management of Workflows (SR1085.3)** in "Functional Requirement Specification Runtime Data Management" [A4] (GID-2451997));
- the status transition is propagated to its workflow steps in the **In process** status (see **Cancel Workflow - Status Propagation (SR1085.2.1.2)** in "Functional Requirement Specification Runtime Data Management" [A4] (GID-2451997));
- the system ensures that its workflow steps cannot be started and/or executed anymore (see **Cancel Workflow - No Workflow Step Execution (SR1085.2.1.3)** in "Functional Requirement Specification Runtime Data Management" [A4] (GID-2451997));
- all related phases, operations, unit procedures, and procedures are terminated automatically and are no longer visible as running processes in the Cockpit of the Production Execution Client.

At each of the related Production Execution Clients, the system displays an appropriate message.

Termination of related phases and operations also applies to server-run operations, which run on the Operation Execution server without any user interaction.

See **Cancel Workflow - Termination of Procedural Elements (SR1085.2.1.3.1)**

"Functional Requirement Specification Runtime Data Management" [A4] (GID-2451997).

- The system automatically records a "cancel workflow"-specific exception for all active phases of the workflow. The risk level of the exception can be configured.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.6.1 GID-2666928 CANCEL WORKFLOW-SPECIFIC EXCEPTION (SR1089.8.6.1)

The cancel operation is associated with a cancel workflow-specific exception on unit procedure level. The exception requests a pre-defined signature according to the **PEC_Signature_CancelWorkflow** access privilege for recording. In the default configuration, the exception is activated.

The cancel workflow-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

Upon confirmation of a cancel workflow-specific exception, the exception is recorded for the unit procedure of the workflow. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Manual Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.4.7 GID-3521824 Abort a Workflow

The system allows the operator to abort a workflow.

- When a workflow is aborted,
 - the system sets the status of a workflow to **Finished**.
 - the status transition is propagated to its workflow steps in the **Final aborted** status.
 - all related phases are terminated automatically and are no longer visible as running processes in the Cockpit of the Production Execution Client.

At each of the related Production Execution Clients, the system displays an appropriate message.

Termination of related phases and operations also applies to server-run operations, which run on the Operation Execution server without any user interaction.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2374359](#)).

For details related to the activation of the exception, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2451997](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2451997](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

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3.4.7.1 GID-3473531 ABORT WORKFLOW-SPECIFIC EXCEPTION

The abort operation is associated with an abort workflow-specific exception on unit procedure level.

The exception requests a pre-defined signature according to the

PEC_Signature_FinalAbortUnitProcedure access privilege for recording. In the default configuration, the exception is activated.

The abort workflow-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

Upon confirmation of an abort workflow-specific exception, the exception is recorded for the unit procedure of the workflow. The exception text, on the exception screen, lists all the batch orders to which the selected workflow was appended. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5 Operation-related Capabilities (SR1089.6+)

The system supports the definition and configuration of certain operation-related capabilities within Recipe and Workflow Designer, see [A2] ([GID-2451997](#)). This section describes the respective system behavior during execution.

3.5.1 Detaching an Operation (SR1089.6.1+)

3.5.1.1 GID-2666929 DETACH OPERATION (SR1089.6.1.1)

The system allows an operator to detach a running operation from its device and station. The availability of the detach action during execution is defined in the master recipe.

A detached operation is no longer flagged as running operation with the **indicator for running operations (SR3071.4.1.1.5)** feature ([GID-2666862](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.1.2 GID-2666930 DETACH INLINE WEIGHING OPERATION (SR1089.6.1.1.1)

An Inline Weighing operation can only be detached if the operation can be held, i.e. no scale is bound to the operation.

If the operation cannot be detached, the system displays an appropriate message.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.1.3 GID-2666931 DETACH-SPECIFIC EXCEPTION (SR1089.6.1.2)

The detach operation for an operation can be associated with a detach-specific exception on operation level. The availability of the exception during execution is defined in the master recipe.

The detach-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([\(GID-2666365\)](#)).

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([\(GID-2665861\)](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.1.4 GID-2666932 RECORDING DETACH-SPECIFIC EXCEPTIONS (SR1089.6.1.2.1)

Upon confirmation of a detach-specific exception, the exception is recorded for each of the running phases of that operation and the operation is detached.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.1.5 GID-2666933 RESTART COMMENT OF DETACH-SPECIFIC EXCEPTIONS (SR1089.6.1.2.2)

Upon restart of a formerly detached operation, the system automatically adds a comment to the related detach-specific exception. This comment records the timestamp of the restart.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.2 Triggering an Operation by Events (SR1089.6.2+)

3.5.2.1 GID-2666934 EVENT-TRIGGERED OPERATION (ETO) (SR1089.6.2.1)

The system supports operations that are triggered by events during execution. The availability of the Event-triggered capability of an operation during execution is defined in the master recipe.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.2 GID-2666935 REPRESENTATION OF EVENT-TRIGGERED OPERATIONS (SR1089.6.2.2)

Initially, an event-triggered operation is a **template** displayed as an operation that is not startable. The template information consists of the operation's identifier and description.

When templates are looped, the system appends a count to their operation identifiers according to the **loop counter (SR3071.4.2.3.2)** feature ([GID-2666873](#)).

As soon as a **run** is created based on a template, the representation changes to that of an idle operation. The run information consists of the operation's identifier and timing-specific information of the current run.

Several runs of one template can be created. The system appends a count to the operation identifier starting with the first run.

The system provides the following actions related to event-triggered operations (ETO-specific actions) in an Actions dialog:

- **Create a new run (SR1089.6.2.3)** action ([GID-2666937](#))
- **Cancel a run (SR1089.6.2.4)** action ([GID-2666939](#))
- **Cancel all runs (SR1089.6.2.5)** action ([GID-2666940](#))
- **Remove a template (SR1089.6.2.8)** action ([GID-2666941](#))
- **Open order or workflow in Viewer (SR1089.1.16)** action ([GID-2665800](#))

The timing-specific information of a run supports the prioritization of operators' activities with:

- Time when a run due stage is reached
- Time when a run overdue stage is reached
- Expiry time
- Time when a finish due stage is reached
- Time when a finish overdue stage is reached

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.3 GID-2666936 REMAINING TIME UNTIL NEXT RUN (SR1089.6.2.2.1)

Time-based trigger phases can inform the ETO template about the remaining time until the next run will be created. As additional information, this duration is displayed next to the template's operation description.

- The duration format for the display is hhh:mm (more than 999 h are not expected and can result in losing information about the minutes).
- Since seconds are not displayed and to avoid displaying 0:00 for nearly 1 minute, a second value above 0 shall be rounded up to a minute.
- The duration is hidden in case the unit procedure is paused.
- In case the ETO template is triggered by several time-based trigger phases, it displays the shortest available duration.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.4 GID-2666937 CREATE A NEW RUN (SR1089.6.2.3)

A new run is created based on the current template. The related operation is idle.

When the first run is created, the representation of the template changes to the representation of an idle operation. Each additional run is positioned above the existing runs.

When the last run of a template is completed, the representation of the run changes back to the representation of the template.

If no exception is enabled for a new run with the Event-triggered capability and the Triggered Operation Management (TOM) server is not available, no new event-triggered operation (ETO) can be created manually.

If an exception is enabled for a new run with the Event-triggered capability and the TOM server is not available, a "create new run"-specific system-triggered exception is recorded, but the new ETO is not created until the TOM server has been restarted.

See also **Event-triggered capability (SR3146.9.5.9.2)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] (GID-2451997).

The recorded exception includes a comment related to the communication issue with the TOM server.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.2.5 GID-2666938 CREATE A NEW RUN-SPECIFIC EXCEPTIONS (SR1089.6.2.3.1)

For new runs that are created automatically with a trigger from a trigger phase that runs on an Operation Execution (OE) server, the system automatically records a "create new run"-specific system-triggered exception when the Triggered Operation Management (TOM) server is not available when a new run is to be created. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.6 GID-2666939 CANCEL A RUN (SR1089.6.2.4)

A run can only be canceled as long as the related operation is idle. A canceled run is removed from all stations.

When the last run of a template is canceled, the representation of the run changes to the representation of the template.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.7 GID-2666940 CANCEL ALL RUNS (SR1089.6.2.5)

Multiple active runs of one template can be canceled at once. For each individual run, the system follows the same behavior as during the cancellation of a single run with the **Cancel a Run (SR1089.6.2.4)** action ([GID-2666939](#)).

If an exception has been defined for the **Cancel all runs** action, the system records an exception for each run, however the operator signs only one exception.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.2.8 GID-2666941 REMOVE A TEMPLATE (SR1089.6.2.8)

A template can only be removed if no runs are available (active or running).

When a template is removed, its representation disappears from the Cockpit at all related stations.

If the Operation Execution (OE) server, the Triggered Operation Management (TOM) server, or the message broker do not run, the template cannot be removed. The system displays an appropriate message.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.9 GID-2666942 ETO-SPECIFIC EXCEPTION (SR1089.6.2.9)

Each of the ETO-specific actions can be associated with a related exception on operation level. The availability of the exception during execution is defined in the master recipe.

The ETO-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

If an operation expires while an exception related to the **Create a new run**, **Cancel a run**, or **Cancel all runs** actions is being recorded, the system displays an appropriate message and then returns to the Cockpit.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.2.10 GID-2666943 RECORDING ETO-SPECIFIC EXCEPTIONS (SR1089.6.2.9.1)

Upon confirmation of an ETO-specific exception, the exception is recorded for the ETO operation. This applies to templates and runs.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.2.11 GID-2666944 RECORDING ETO-SPECIFIC EXCEPTIONS - ACTIONS NOT COMPLETED (SR1089.6.2.9.2)

In case an ETO action-specific exception has been recorded, but the action cannot be completed by the system, the system automatically adds a comment to the related ETO action-specific exception. This applies to the following circumstances

- Conflicts with ETO-related actions of other clients.
- Issues related to the connectivity to the TOM server.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3 Escalation Management of Event-triggered Operations (SR1089.6.3+)

3.5.3.1 GID-2666945 ESCALATION STAGES (SR1089.6.3.1)

The system supports six escalation stages of a run of an event-triggered operation:

1. Run due
The run is idle and has become due since it was triggered.
2. Run due reminder
The run is idle and its reminder alerts the operator.
3. Run overdue
The run is idle and overdue.
4. Run expired
The run is expired and disappears from the list of **Startable** operations within the Cockpit.
5. Finish due reminder
The run is in progress and needs to be finished by the operator.
6. Finish overdue
The run is in progress and overdue and needs to be finished by the operator.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.2 GID-2666946 GRAPHICAL REPRESENTATION OF ESCALATION STAGES (SR1089.6.3.2)

The escalation stages are represented in the notification bar of the **header bar (SR3071.4.2.4.1)** area ([GID-2666853](#)) and in the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)) by notification markers to the left of the operation. Since the list of operations can be collapsed, the unit procedure button shall provide an escalation capability indicator displaying the highest escalation status of its operations.

In the notification bar, the system displays a specific notification tab with the current number of runs for each of the following stages:

- Run due,
- Run due reminder,
- Run overdue
- Finish due reminder,
- Finish overdue.

The system displays a notification marker in the Cockpit for each run of the following stages:

- Run due reminder,
- Run overdue,
- Finish due reminder,
- Finish overdue.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.3 GID-2666947 ESCALATION-SPECIFIC EXCEPTIONS (SR1089.6.3.4)

Each of the following escalation stages can be associated with a specific exception on operation level. The availability of the exception during execution is defined in the master recipe.

The escalation-specific exceptions are exceptions of the **system-triggered (SR1079.1.4)** category ([GID-2666367](#)) (see **Implicit Capability-related Exceptions (SR1079.1.4.2)** for details ([GID-2667007](#))). They are recorded automatically by the system without any user interaction.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.4 ESCALATION DISPLAYED ON NOTIFICATION PANEL (SR1089.6.3.5+)

The recipe author can configure ETO escalation stage-specific notifications and alarming for the **Notification panel (SR3071.4.2.4.4)** area ([GID-2666855](#)) with the **Escalation-enabled** capability. When the ETO goes through the different stages, the notification will be updated based on the configurations provided by the recipe author.

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3.5.3.5 GID-2666949 NOTIFICATION FOR RUN CREATED (SR1089.6.3.5.1)

When the alarm is enabled or the notification text is maintained with the capability, a **Run created** notification related to the new ETO is created for the notification panel.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.6 GID-2666950 NOTIFICATION FOR RUN DUE REMINDER (SR1089.6.3.5.2)

When the alarm is enabled or the notification text is maintained with the capability, in addition to the escalation, a **Run due reminder** notification is created related to the ETO for the notification panel.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.7 GID-2666951 NOTIFICATION FOR RUN OVERDUE (SR1089.6.3.5.3)

When the alarm is enabled or the notification text is maintained with the capability, in addition to the escalation, a **Run overdue** notification is created related to the ETO for the notification panel.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.8 GID-2666952 NOTIFICATION FOR RUN EXPIRED (SR1089.6.3.5.4)

When the alarm is enabled or the notification text is maintained with the capability, in addition to the escalation, a **Run expired** notification is created related to the ETO template for the notification panel. The notification text for a run expired escalation includes the expired run number.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.9 GID-2666953 NOTIFICATION FOR FINISH DUE REMINDER (SR1089.6.3.5.5)

When the alarm is enabled or the notification text is maintained with the capability, in addition to the escalation, a **Finish due reminder** notification is created related to the ETO for the notification panel.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.10 GID-2666954 NOTIFICATION FOR FINISH OVERDUE (SR1089.6.3.5.6)

When the alarm is enabled or the notification text is maintained with the capability, in addition to the escalation, a **Finish overdue reminder** notification is created related to the ETO for the notification panel.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.3.11 GID-2666955 ESCALATION OF A DETACHED OPERATION (SR1089.6.3.6)

- Once an operation is detached from a station, the **Finish due** or **Finish overdue** escalation shall be displayed on all stations where this operation is start able.
- Once an operation is started again, a **Finish due** or **Finish overdue** escalation for this operation shall be displayed only on the station where it is running.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.4 Server-side Running Operations (SR1089.6.4+)

3.5.4.1 GID-2666956 SERVER-RUN DEFINITION (SR1089.6.4.1)

The system supports operations that run on a server. The availability of the Server-run capability of an operation is defined in the master recipe.

Server-side running operations are not visible in any view of the Production Execution Client.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.5.4.2 GID-2666957 OPERATION EXECUTION (OE) SERVER-RUN-SPECIFIC EXCEPTIONS (SR1089.6.4.2)

The system supports the recording of a server-run-specific exception in case an operation that runs on an OE server is restarted. The exception is added on operation level.

The OE server-run-specific exceptions are exceptions of the **system-triggered (SR1079.1.4)** category ([GID-2666367](#)) (see **Implicit Capability-related Exceptions (SR1079.1.4.2)** for details ([GID-2667007](#))). They are recorded automatically by the system without any user interaction. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.4.3 GID-2666958 TRIGGERED OPERATION MANAGEMENT (TOM) SERVER-RUN-SPECIFIC EXCEPTIONS (SR1089.6.4.3)

The system supports the recording of a server-run-specific exception in case a template that runs on a TOM server is restarted. The exception is added on unit procedure level.

The TOM server-run-specific exceptions are exceptions of the **system-triggered (SR1079.1.4)** category ([GID-2666367](#)) (see **Implicit Capability-related Exceptions (SR1079.1.4.2)** for details ([GID-2667007](#))). They are recorded automatically by the system without any user interaction. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.5 Auto-startable Operations

3.5.5.1 GID-3083320 AUTO-STARTABLE OPERATIONS (SR1089.6.5)

The system supports operations that can be started automatically rather than being started manually in the **Cockpit (SR3071.4.1.1)** view ([GID-2665763](#)) of the Production Execution Client. In this case, the Production Execution Client directly switches to the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)) with its running phases.

The availability of the Auto-startable capability of an operation is defined in the master recipe.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.5.2 GID-2666959 AUTO-START CONSTRAINTS (SR1089.6.5.1)

An operation with the Auto-startable capability is automatically started or resumed whenever one of the following scenarios applies:

- An order step (unit procedure) is started for the first time and the auto-startable operation is the first operation of this unit procedure.
This also applies to reactivated order steps (unit procedures).
- A unit procedure is running and the predecessor operation of the auto-startable operation is completed.
- A unit procedure was detached while the auto-startable operation was running and the related order step is now restarted.

An operation with the Auto-startable capability is not automatically started in case at least one of the following constraints applies:

- The unit procedure runs on multiple stations or devices and it would be allowed to start the operation on more than one of these available stations or devices.
- No Production Execution Client is running at a required station at the point of time when the auto-start would have been triggered.
- The **Register at Station** dialog is open.
- The **Change User** dialog is open.
- The context dialog of unit procedures or operations is open.
- The dialog for appending workflows to a unit procedure is open.
- It is the first operation of a workflow that was created and auto-started by the Create Workflow Phase.

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Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.6 Context-related Actions

3.5.6.1 GID-3083333 CONTEXT-RELATED ACTIONS (SR1089.6.6)

The system provides the following actions related to operations in an Actions dialog:

- **Abort operation (SR1089.6.7)** action ([GID-2666960](#))
- **Open order or workflow in Viewer (SR1089.1.16)** action ([GID-2665800](#))

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.6.2 GID-2666960 ABORT OPERATION (SR1089.6.7)

The system allows an operator to abort an **Idle** or **Running** operation.

- When an operation is aborted,
 - the system sets the completion time of the operation.
 - all related phases are terminated automatically and the operation is no longer visible as running process in the Cockpit of the Production Execution Client.
 - At each of the related Production Execution Clients, the system displays an appropriate message.
 - the system automatically records an "abort operation"-specific exception for all active phases of the operation. The risk level of the exception can be configured.
 - aborted operations are available at the exception dashboard for review.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.5.6.3 GID-2666961 ABORT-SPECIFIC EXCEPTION (SR1089.6.7.1)

The abort operation is associated with an abort operation-specific exception on operation level. The exception requests a pre-defined signature according to the **PEC_Signature_AbortOperation** access privilege for recording. In the default configuration, the exception is activated.

The detach-specific exception is an exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)).

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Upon confirmation of an abort operation-specific exception, the exception is recorded for the aborted operation of the order or workflow. The risk level of the exception can be configured.

For details related to exceptions in general, see the **Exception Management (SR1079+)** feature ([GID-2665861](#)).

For details related to the activation of the exception, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6 Specific API Support for Building Blocks (SR1089.3+)

The following dedicated APIs are available to support building blocks.

3.6.1 API - Material Identification (SR1089.3.1+)

Material identification is supported in the context of a control recipe.

3.6.1.1 GID-2666962 Checks (SR1089.3.1.1)

Building blocks can control material-related checks and exception handling.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.2 API - Material Accounting (SR1089.3.2+)

Material accounting is supported in the context of a control recipe.

3.6.2.1 GID-2666963 Types (SR1089.3.2.1)

Building blocks can record the consumption of sampled and wasted quantities.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.6.2.2 GID-2666964 CORRECTION (SR1089.3.2.2)

Building blocks can record a correction of sampled and wasted quantities.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.2.3 GID-2666965 RELEASE SUBLLOT (SR1089.3.2.3)

Building blocks can release a subplot without any consumption activities at that time.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.3 API - Data Recording (SR1089.3.3+)

3.6.3.1 GID-2666966 MULTIPLE RECORDS (SR1089.3.3.1)

Building blocks can record and retrieve multiple data records. The number of data records is defined dynamically during execution.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.3.2 GID-2666967 SUPPORT OF RUNTIME PROPERTIES (SR1089.3.3.2)

During execution, a phase can write and read runtime property-related data of an equipment entity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.6.4 API - Status Handling of Phases (SR1089.3.4+)

3.6.4.1 GID-2666968 PHASE UI STATUS: VISIBLE/INVISIBLE (SR1089.3.4.1)

System events can determine when the UI status of a phase changes to **Visible** or **Invisible**. This applies to all UI views of a phase, which are related to execution, exceptions, or post-completion actions.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.4.2 GID-2666969 PHASE S88 STATUS: HOLD (SR1089.3.4.2)

A system event recognizes when the S88 status of a phase changes to **Hold**. The event occurs when the Production Execution Client is shut down.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.5 API - Usage Control of Equipment Entities (SR1089.3.5+)

3.6.5.1 GID-2666970 USE CASES (SR1089.3.5.1)

The system can control the usage of an equipment entity in the context of an order or workflow. This includes:

- Monitoring the actual usage.
- Preventing a concurrent usage.
- Providing mechanisms to make an equipment entity available again after its usage.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.5.2 GID-2666971 STATUS GRAPH (SR1089.3.5.2)

The system supports the following statuses and transitions for equipment entities as part of the usage control:

- **Available:** Equipment entity is not in use.
- **Identified:** Equipment entity is reserved for further usage in its context.
- **Bound:** Equipment is bound to its context.

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Transition (ID - From » To)	Signature (Access privilege, according to FSM)	Additional information
1.1 - Bound » Available	---	Automatic transition (Release).
1.2 - Identified » Available	---	Automatic transition (Release).
2.1 - Available » Identified	---	Transition triggered by equipment identification (Identify).
3.1 - Identified » Bound	---	Automatic transition (Bind).

The diagram illustrates the **S88EquipmentBinding** flexible state model.

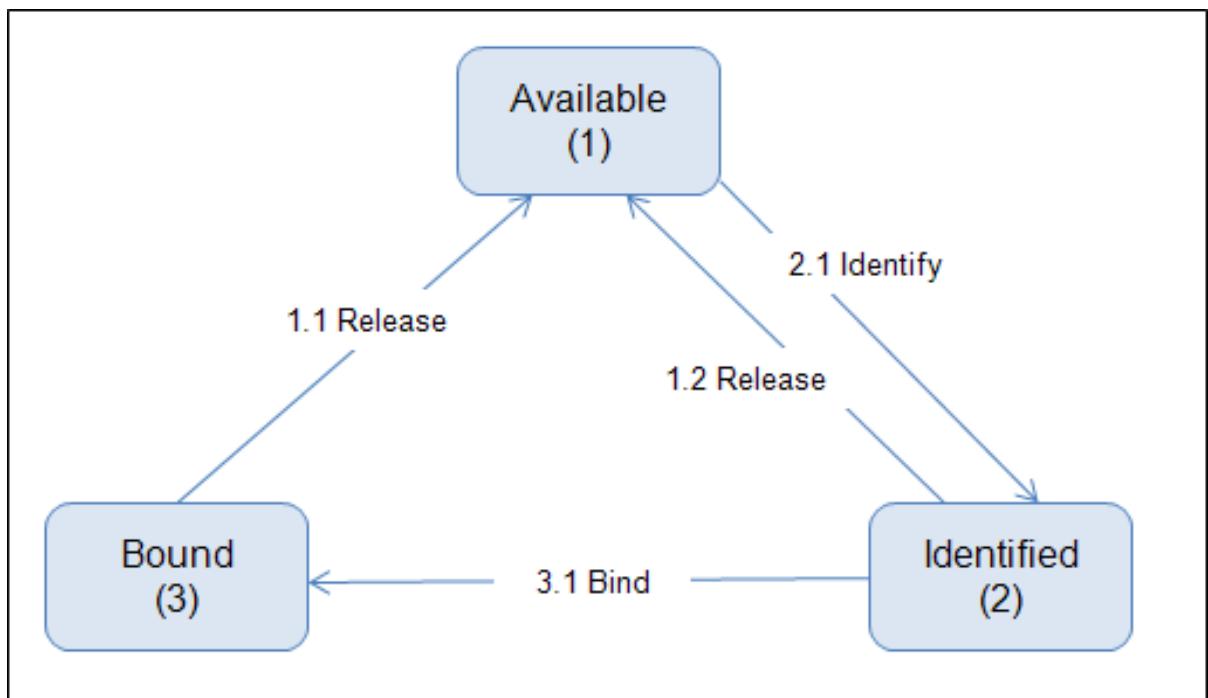


Figure 1: Usage control of equipment entity - status graph

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

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3.6.5.3 GID-2666972 SUPPORT OF RULE VALIDATION (SR1089.3.5.3)

During execution, a phase can validate equipment requirement-specific rules. This includes rules that are defined on the basis of property types or flexible rules that have been defined within the Expression editor.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.6 API - Status Handling of FSM Properties of Equipment Entities (SR1089.3.6+)

3.6.6.1 GID-2666973 FSM PROPERTY STATUS MANAGEMENT (SR1089.3.6.1)

Building blocks can manage the status of an FSM property of a specific equipment entity. This includes the following API calls:

- Apply transition.
- Check for available transitions.
- Force status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.6.7 API - Recording of Equipment Entity Logbook (SR1089.3.7+)

3.6.7.1 GID-2666974 USAGE CONTROL (SR1089.3.7.1)

If a logbook is maintained for a specific equipment entity, the system tracks the following events related to usage control in the logbook:

- All transitions (Identify, Bind, Release).
- Failure of identification, if entity is already in the **Identified** status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

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3.6.7.2 GID-2666975 FSM PROPERTY STATUS CHANGE (SR1089.3.7.2)

If a logbook is maintained for a specific equipment entity, the system tracks the following events related to FSM property status changes in the logbook:

- Apply transition.
- Force status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.6.7.3 GID-2666976 PHASE INFORMATION AND SIGNATURE (SR1089.3.7.3)

If a logbook is maintained for a specific equipment entity, a phase can record a specific information string in the logbook. The following information-related categories are supported:

- Manual: for manual logbook entries
- Denial: identification/binding of equipment entities has been denied
- Phase: recording of other phase-specific events

The API call also supports the recording of related signature data that might be provided by the phase.

Customer-specific categories can be defined by a system integrator and can be used when a phase creates the related logbook entry.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.6.8 GID-2665829 API - Equipment Entity Logbook Data Retrieval (SR1089.3.9)

If a logbook is maintained for a specific equipment entity, the system allows to retrieve specific data that was recorded in the logbook (e.g. last product material).

The API supports the meaning of **last** with respect to the last binding action for this specific equipment entity. Example: **Last product material** returns the product material of the last order for which this specific equipment was used (i.e. bound and released), which is documented by the **Bound** binding status.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.6.9 API - Context Information for Phase Dialogs (SR1089.3.8+)

3.6.9.1 GID-2666977 SYSTEM-TRIGGERED EXCEPTION CONTEXT (SR1089.3.8.1)

System-triggered exception dialogs of phases display the trigger timestamp and the identifiers of the operation and phase that triggered the exception.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.9.2 GID-2666978 ERROR, WARNING, AND INFORMATION MESSAGE CONTEXT (SR1089.3.8.2)

Error, warning, or information message dialogs of phases display the trigger timestamp and the identifiers of the operation and phase that triggered the dialog.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.10 GID-2665831 API - System-triggered Exceptions without User Interaction (SR1089.3.10)

The system supports system-triggered exceptions that can be triggered by a phase and do not require any user interaction.

Per phase-related business logic, the exception is recorded automatically by the system without any user interaction.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11 GID-2665832 API - Generating an Equipment Entity (SR1089.3.11)

Based on a template equipment entity, the system can generate a defined number of equipment entities according to the data defined with the template.

The generation includes the following steps:

- Generate new entities.
- Set status of newly generated entities.

For technical details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.1 GID-2666979 NUMBER OF ENTITIES TO BE GENERATED (SR1089.3.11.1)

The number of entities to be generated can be configured.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.2 GID-2666980 BARCODE AND IDENTIFIER (SR1089.3.11.2)

The system uses the following template-specific attributes to build the barcode and identifier of the generated entity:

- **Barcode prefix:**

If the barcode prefix source is set to **Template-specific**, the system uses the value of the **Barcode prefix character** attribute. The **Barcode prefix character** attribute is not mandatory. If no value is defined, the barcode will be identical to the identifier.

If the barcode prefix source is set to **From configuration key**, the system uses the value of the corresponding configuration key.

- **Identifier prefix:** If no value is defined, the system uses the value of the corresponding configuration key.

- **Sequencer length:** Defines the number of digits to be used for the count of generated entities that succeed the identifier prefix. The system uses leading zeros to fill up the digits in order to have barcodes with a constant length. If no value is defined, the system uses the value of the corresponding configuration key.

Example:

Barcode prefix character = §

Identifier prefix = EQ

Sequencer length = 5

The first of the generated entities has the identifier **EQ00001** and the barcode **§EQ00001**.

In case that one of the values (identifier, barcode) is already used by an equipment entity, the entity generation fails and the API call ends.

Several template entities can share the same sequencer. The sequencer is unique per identifier prefix.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.3 GID-2666981 DATA OF A GENERATED ENTITY (SR1089.3.11.3)

The data of a template entity is copied unchanged to the newly generated entity with the following exceptions:

- Template-specific **Entity Barcode** attributes are not copied.
- The **Template used** attribute is set to the identifier of the used template entity.
- Runtime property values are not copied. They are initialized with the value that is set when a property has been added to an entity.
- The statuses of the assigned equipment graphs are set to their initial statuses.
- Entity barcode and identifier are generated according to the **Barcode and Identifier (SR1089.3.11.2)** requirement ([GID-2666980](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.4 GID-2666982 STATUS OF GENERATED ENTITY (SR1089.3.11.4)

The status of the generated entity can explicitly be set to the status of the template entity. If the status is not set explicitly, the status of the generated entity is set to **Draft**.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.5 GID-2666983 ALLOWED TEMPLATE ENTITY STATUS (SR1089.3.11.5)

Template entities in the **Approved** status or any lower status are allowed to be used for the generation of equipment entities.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.11.6 GID-2666984 RETURN VALUES (SR1089.3.11.6)

The API call returns the generated entity objects.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.6.12 API - Printing an Equipment Entity Label (SR1089.3.12+)

For technical details, see chapter "Changing or Adding New Labels" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

3.6.12.1 GID-2666985 LABEL LAYOUT (SR1089.3.12.1)

The system uses the label layout specified with the **Label layout** attribute of the entity. If no label layout has been defined or if the defined label layout does not exist as a report design, the system uses the default layout as defined in the system configuration.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.12.2 GID-2666986 PRINTER (SR1089.3.12.2)

The printer to be used can be defined.

- If the defined printer does not exist, the system reports an error.
- If no printer has been defined, the system uses the default label printer as configured in the system configuration. If no printer has been configured in the system configuration, the system uses the default printer of the work station.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13 GID-2665834 API - Generating an Equipment Entity of the Hybrid Equipment Type (SR1089.3.13)

Based on a subplot and a related template equipment entity, the system can generate a defined number of equipment entities of a defined quantity per entity from the subplot and according to the data defined with the template. The system uses the template entity that is assigned to the material of the subplot.

The generation includes the following steps:

- Perform material-related checks against the identified subplot.
- Perform an implicit inventory correction.
- Retrieve the template entity from the material of the subplot.
- Generate new entities.
- Consume or split subplot.

- Fill entity's runtime properties of the **Base Sublot (RS)** and **Current Sublot (RS)** purposes. The system updates the logbook accordingly (if maintained).
It is assumed that a subplot identifier is unique within the system.
- Set status of newly generated entities.

For technical details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.1 GID-2666987 SUBLOT IDENTIFICATION CHECKS (SR1089.3.13.1)

The system allows to configure which checks are performed against the subplot, the material of the subplot, or the batch of the subplot. The checks are defined in the check suite for subplot identification. The check suite can consist of checks configured by phase building block parameters and/or non-adjustable checks.

The following checks are available and can be added to the check suite:

- Checks that are configured with a phase building block parameter and which require further actions (e.g. creating a system-triggered exception) if they fail:
 - Sublot batch minimum quality status
 - Sublot batch expiry date (with minimum time to expire)
 - Sublot batch retest date (with minimum time to retest)
- Checks that are not adjustable and cause the execution to be aborted if they fail:
 - Sublot blocked by other process
 - Identified subplot logically deleted
 - UoM of given quantity is not convertible to UoM of subplot quantity

The system allows to integrate further checks.

For details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

A failed check prevents the execution of further actions of the method. In case an exception is recorded for the failed check, the signature and the related checks can be provided to a second API call. The second call ignores all check-related errors that were already signed. However, the execution is aborted when a different check fails.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.2 GID-2666988 IMPLICIT INVENTORY CORRECTION (SR1089.3.13.11)

To determine the quantity to be consumed from the base subplot, the system multiplies the number of entities to be generated by the quantity to be consumed per entity.

In case the quantity of the base subplot is insufficient, the system behavior can be defined: either the API call returns an error or, before the consumption execution, the quantity is increased by the difference between required and available quantity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.3 GID-2666989 TEMPLATE ENTITY TO BE USED (SR1089.3.13.2)

The system retrieves the template entity to be used for the generation of a new entity from the material of the identified subplot. If there is no template entity defined for the material, the system reports an error.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.4 GID-2666990 NUMBER OF ENTITIES TO BE GENERATED (SR1089.3.13.3)

The number of entities to be generated can be configured.

Each entity generation, including its subplot-related actions, is done within an own transaction.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.5 GID-2666991 REASON FOR GENERATING HYBRID ENTITIES (SR1089.3.13.4)

An entity of the **Hybrid** equipment type can be generated and used for two different reasons: **Split** or **Consume immediately**.

In both cases, a subplot must have been identified. For each generated entity, it is possible to define the quantity (and unit of measure) that has to be subtracted from the base subplot.

In case of **Split**, the consumption does not happen when the entity is generated. The subplot generated by the split operation is consumed later when the entity is used within an order context.

In case of **Consume immediately**, the defined quantity is immediately consumed from the base subplot.

If the base subplot is empty afterwards, it is marked as **logically deleted**.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.6 GID-2666992 TRANSACTION HISTORY SUBTYPE FOR CONSUMPTION (SR1089.3.13.5)

The transaction history subtype that is documented with the quantity changes of the base and current sublots can be defined as any value of the editable *TransactionSubtype* choice list.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.7 GID-2666993 BARCODE AND IDENTIFIER (SR1089.3.13.6)

For equipment entities of the **Hybrid** equipment type, the same algorithm applies as for non-hybrid equipment entities. For details, please refer to the **Barcode and Identifier (SR1089.3.11.2)** requirement ([GID-2666980](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.8 GID-2666994 ALLOWED TEMPLATE ENTITY STATUS (SR1089.3.13.9)

Template entities in the **Approved** status or any lower status are allowed to be used for the generation of equipment entities.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.9 GID-2666995 DATA OF GENERATED ENTITY (SR1089.3.13.7)

The data of a template entity is copied unchanged to the newly generated entity with the following exceptions:

- Template-specific **Entity Barcode** attributes are not copied.
- The **Template used** attribute is set to the identifier of the used template entity.

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- Runtime property values are not copied. They are initialized with the value that is set when a property has been added to an entity.
- The statuses of the assigned equipment graphs are set to their initial statuses.
- Entity barcode and identifier are generated according to the **Barcode and Identifier (SR1089.3.13.6)** requirement ([GID-2666993](#)).
- The entity's property of the **Base Sublot (RS)** purpose is filled with the subplot identifier of the identified subplot.
- Only if the **Reason for Generating (SR1089.3.13.4)** the hybrid entity ([GID-2666991](#)) is **Split**: The entity's property of the **Current Sublot (RS)** purpose is filled with the subplot identifier of the new entity that was split from the identified subplot.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.10 GID-2666996 STATUS OF GENERATED ENTITY (SR1089.3.13.8)

The status of the generated entity is set to the status of the template entity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.13.11 GID-2666997 RETURN VALUES (SR1089.3.13.10)

The API call returns the generated entity objects and, if applicable, exceptions, warnings, and errors.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.14 GID-2665835 API - Identifying an Equipment Entity of the Hybrid Equipment Type (SR1089.3.14)

When identifying an equipment entity of the **Hybrid** equipment type, the system performs the regular equipment identification checks and actions. Additionally, further checks, a material identification, and inventory operations on the linked sublots can be performed.

Failed checks, material identification, or subplot operations prevent the binding of the equipment entity. If the entity belongs to an equipment entity group, the entire group is not bound.

If the entire identification has been performed successfully or all exceptions have been signed, the material and inventory actions are persistent and cannot be undone.

For technical details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.14.1 GID-2666999 BASE SUBLot IDENTIFICATION CHECKS (SR1089.3.14.2)

These checks are optional.

The system allows to configure which checks are performed against the batch of the subplot whose subplot identifier is stored in the entity's property of the **Base Sublot (RS)** purpose. The checks are defined in the check suite for subplot identification.

The checks are only performed if the entity's property of the **Current Sublot (RS)** purpose is empty. The checks on batch level are performed, even if the referenced subplot is already marked as **logically deleted**.

The check suite can consist of checks configured by phase building block parameters and/or non-adjustable checks. The check suite can differ from the check suite of the **Current Sublot**

Identification (SR1089.3.14.1) checks ([GID-2666998](#)). The phase building block parameters are assumed to be equal.

The following checks are available and can be added to the check suite:

They are configured with a phase building block parameter.

- Sublot batch minimum quality status
- Sublot batch expiry date (with minimum time to expire)
- Sublot batch retest date (with minimum time to retest)

The system allows to integrate further checks.

For technical details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

A failed check prevents the execution of further actions of the method. In case an exception is recorded for the failed check, the signature and the related checks can be provided to a second API call. The second call ignores all check-related errors that were already signed. However, the execution is aborted when a different check fails.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.6.14.2 GID-2667000 IDENTIFICATION AND CONSUMPTION OF CURRENT SUBLot (SR1089.3.14.3)

For the current subplot, the system supports that the identification and consumption of the subplot can be skipped. This can be configured.

In case the entity's property of the **Current Sublot (RS)** purpose is not empty and matches a material parameter, the referenced subplot will be identified and completely consumed. The consumed subplot is marked as **logically deleted**.

It is an error case if the subplot does not have a matching material parameter. This situation is already covered by the configurable check suite and the **MFC-relevant material parameter exists for an identified subplot** check (see **Current Sublot Identification (SR1089.3.14.1)** checks ([GID-2666998](#))).

If the subplot material does not match one material parameter unambiguously, the identification fails.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.14.3 GID-2667001 MATERIAL PARAMETER QUANTITY CHECK (SR1089.3.14.4)

The system checks that the planned quantity of all MFC-relevant material parameters is reached. The check is only performed if a planned quantity is defined.

In case absolute and/or relative tolerances have been defined for a material parameter, the lower value is used to check if the consumed quantity is within the allowed range. A violation of the planned quantity generates an exception.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.14.4 GID-2667002 RETURN VALUES (SR1089.3.14.5)

The API call returns possible exceptions, warnings, errors, and a list of identified equipment entities with their sublots.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.6.14.5 GID-2666998 CURRENT SUBLot IDENTIFICATION CHECKS (SR1089.3.14.1)

The system allows to configure which checks are performed against the subplot, the material of the subplot, or the batch of the subplot whose subplot identifier is stored in the entity's property of the **Current Sublot (RS)** purpose. The checks are defined in the check suite for subplot identification. The checks on batch level are performed, even if the referenced subplot is already marked as **logically deleted**.

The check suite can consist of checks configured by phase building block parameters and/or non-adjustable checks.

The following checks are available and can be added to the check suite:

- Checks that are configured with a phase building block parameter and which require further actions (e.g. creating a system-triggered exception) if they fail:
 - Sublot batch minimum quality status
 - Sublot batch expiry date (with minimum time to expire)
 - Sublot batch retest date (with minimum time to retest)
 - Batch allocation check
 - **Material parameter quantity (SR1089.3.14.4)** check ([GID-2667001](#))
- Checks that are not adjustable and cause the execution to be aborted if they fail:
 - Sublot blocked by other process
 - Identified subplot already logically deleted
 - MFC-relevant material parameter exists for an identified subplot

The system allows to integrate further checks.

For technical details, see chapter "Handling of S88 Equipment-related Features" in "Technical Guide Developing System Building Blocks" [A12] ([GID-2665873](#)).

A failed check prevents the execution of further actions of the method. In case an exception is recorded for the failed check, the signature and the related checks can be provided to a second API call. The second call ignores all check-related errors that were already signed. However, the execution is aborted when a different check fails.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.6.15 GID-2665836 API - Changing the Status of a Sublot (SR1089.3.15)

The status of a subplot can be changed to **Unrestricted**, **Quality Inspection**, **Blocked**, or **null**.

The change is recorded as transaction history entry with the **Change of subplot data** transaction type and the **Change of quality data** transaction subtype.

If PharmaSuite is configured to communicate with Warehouse Management, it is informed about the status change with further data like current user, transaction process, station, or a comment.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.7 Specific API Support for Interfaces (SR1089.9+)

The following dedicated APIs are available to support interface, e.g. with a DCS adapter.

For details related to DCS requests, see "Technical Guide DCS Adapter" [A13] ([GID-2665873](#)).

3.7.1 GID-2665838 Listener for Consumed Material Requests (SR1089.9.1)

Consumed material requests can either request to process material consumptions (via DCS integration or phase-specific exception) or to remove an incorrectly recorded data set (only via phase-specific exception).

Process material consumption:

1. Check if the data received with the request points to exactly one order step input.
Otherwise the request cannot be processed.
If there are two or more order steps in a XOR branch containing the same material position, at least one of the order steps must be started before the system can process the request for an order step.
2. Identify the corresponding subplot for the order step input.
If the subplot is not known, create a temporary subplot and continue with this subplot.
3. Set the request-specific UDAs at the order step input.
4. Update the subplot's quantity (consume quantity).
5. If applicable, delete the subplot logically.
6. Release the identified subplot.

Reverse an already processed consumption (only via phase-specific exception):

1. Check if the request is coming from an MES (e.g. phase building block).
Otherwise the request cannot be processed.
2. Check if a subplot ID is specified in the request.
Otherwise the request cannot be processed.

3. Check if the data received with the request points to one or more order step inputs.
Otherwise the request cannot be processed.
4. Set the consumed quantity of the first matching order step input to 0.
5. Only if the corresponding subplot is neither logically deleted nor temporary and not identified by another order:
Update its quantity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.7.2 *GID-2665839 Listener for Produced Material Requests (SR1089.9.2)*

Produced material requests contain information about the produced material (via DCS integration or via phase-specific exception).

Process produced material request

1. Before any produced material request can be processed, at least one subplot of the ingoing material (order step input) must have already been consumed.
2. Check if the data received with the request points to an exactly one order step output.
Otherwise the request cannot be processed.
If there are two or more order steps in a XOR branch containing the same material position, at least one of the order steps must be started before the system can process the request for an order step.
3. Load the subplot for the order step output.
 1. If the subplot is available, correct the quantity of the subplot and update the subplot's transaction history.
 2. If the subplot is not known, create a new subplot.
 - Check if the order step runs.
If so, assign the subplot to the storage location of the order step's work center.
Otherwise assign the subplot to the default storage location.
 - Check if the order step output is the final one.
If so, use the batch ID of the order.
Otherwise use the batch of the produced sublots. If there are no produced sublots, load/create a batch according to the request or create a new batch with a system-generated ID.
 - Check if a subplot ID is specified in the request.
If so, use the subplot ID.
Otherwise sue a system-generated ID.
 - Update the subplot's transaction history.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.7.3 *GID-2665840 Listener for Batch Information Requests (SR1089.9.3)*

Batch information requests contain a batch identifier and its material to get all relevant batch information in the reply.

Process batch information request

- Check if the batch identifier received with the request matches an available batch.
If not, the system includes the material identifier received with the request in its check for an available batch.
- If case of success, the system returns the batch identifier, material identifier, batch status, batch quantity, batch potency, production date, expiry date, and retest date of the batch.
- If no batch can be found, the system returns an error.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.8 Specific API Support for Equipment Objects (SR1089.10+)

The following dedicated APIs are available for equipment objects, such as equipment entities, that are accessible by an external system.

3.8.1 *GID-2665842 API - Retrieve Value of an Entity's Property (SR1089.10.1)*

For equipment entities, the system supports the retrieval of an entity's property values.

In case of a runtime property, the following technical property types are supported:

- BigDecimal
 - String
 - Boolean
 - Measured value
 - Duration
 - Flexible attribute definition
- The retrieval of one attribute is supported.

In case of a specification property, the following technical property types are supported:

- BigDecimal
- String
- Boolean
- Duration

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.8.2 GID-2665843 API - Update Value of an Entity's Property (SR1089.10.2)

For equipment entities, the system supports the update of an entity's runtime property values. The following technical property types are supported:

- BigDecimal
 - String
 - Boolean
 - Measured value
 - Duration
 - Flexible attribute definition
- The update of one attribute is supported.

The system updated the logbook of the affected equipment entity accordingly (if maintained).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.8.3 GID-2665844 API - Retrieve Graph-related Runtime Data (SR1089.10.3)

For equipment entities, the system supports the retrieval of an entity's graph-related runtime data (status, expiry date).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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3.8.4 GID-2665845 API - Update Graph-related Runtime Data (SR1089.10.4)

For equipment entities, the system supports to trigger a graph transition in order to update an entity's graph-related runtime data (status, expiry date).

The system updated the logbook of the affected equipment entity accordingly (if maintained).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.8.5 GID-2666333 API - Bind an Equipment Entity (SR1089.10.5)

For equipment entities, the system supports to bind an approved entity.

The system updated the logbook of the affected equipment entity accordingly (if maintained).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.8.6 GID-2666334 API - Release an Equipment Entity (SR1089.10.6)

For equipment entities, the system supports to release a bound entity.

The system updated the logbook of the affected equipment entity accordingly (if maintained).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.9 Signature for Phase Completion (SR1089.4+)

3.9.1 GID-2666335 Signature Panel (SR1089.4.1)

During execution, the system extends the phase by a phase completion signature panel, according to the phase-specific configuration during recipe and workflow authoring.

A second type of phase completion signatures are "pre-defined phase completion signatures". They are assigned to a phase and depend on the current context (e.g. **Quantity entry** weighing method). In this case, any other phase completion signature that has been assigned to the phase during recipe and workflow authoring is ignored.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.9.2 GID-2666336 Authorization (SR1089.4.2)

In case a phase completion signature is defined for a phase, the system requires an authorization by the appropriate users in order to complete a phase.

For a sequential phase completion signature, the system checks that the user has not signed for a previous phase completion within the operation. Otherwise, the system creates a system-triggered exception. After signing the exception the user can sign for the phase completion.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.9.3 GID-2666337 Dynamic Behavior (SR1089.4.3)

The system allows a phase to dynamically ignore the assigned signature during execution. Example use cases are: automated vs. manual tare, skipped phases.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.9.4 GID-2666338 Password Performance (SR1089.4.4)

In case passwords have already been entered, but the operator returns to the phase rather than completing the phase right away, the system deletes the passwords and requires them to be entered again.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.10 Signatures in Execution (SR1089.11+)

Depending on the system configuration, the system can require a single or double signature to confirm an action (see **Electronic Signatures (SR1095.50.2)** in "Functional Requirement Specification Non-functional Requirements" [A10] ([GID-2665873](#))).

The input fields for the user names and passwords are embedded in the currently visible PEC dialogs or panels without an additional modal dialog.

- **Phase-completion (SR1089.4+)** signatures ([GID-2665846](#))
- **Phase-action** signatures, e.g. in the **Accounting dialog (SR0070.1.3)** as described in "Functional Requirement Specification Material Tracking Phases" [A9] ([GID-2665873](#))
- **System-triggered (SR1079.1.4)** exceptions ([GID-2666367](#))
- **User-triggered (SR1079.1.2)** exceptions ([GID-2666365](#))
- **Explicit capability-related (SR1079.1.2.1)** exceptions ([GID-2667004](#))

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3.10.1 GID-2666339 Recorded Signature Timestamp (SR1089.11.1)

The system records the time of the successful verification of the authorization per signature. The authorization process is started by entering the login name and password for the signature and move the focus away.

In case of a double signature, the system records a separate timestamp for each authorization it has recorded.

There is no prescribed sequence for entering a login name before a password or the first signature before the second signature.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.10.2 GID-2666340 Renewal of Signature Timestamp (SR1089.11.2)

As long as an action has not been confirmed, the login name or password of an authorized signature can be actively changed or invalidated by the system by deleting the password. The timestamp is only kept as long the authorization is valid (neither the login name nor the password have been changed). As soon as the authorization is verified again, a new timestamp is recorded even if this was done for the same login name.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.10.3 GID-2666341 Signature Timestamp in Reports (SR1089.11.3)

In case the signature data is included in a report, the timestamp of the signature authorization is part of the signature data. In case of a double signature, the individual timestamps of both authorizations are included.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

3.11 EBR User Experience (SR1089.5+)

3.11.1 GID-2665848 Focus of Input Fields (SR1089.5.1)

During EBR execution, input fields that hold the focus are highlighted.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.11.2 GID-3083270 Focus on Buttons (SR1089.5.2)

A button with focus shall have a highlighted frame.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

3.11.3 GID-3072370 Button Availability

To prevent unexpected activities, it should not be possible for the user to manually trigger buttons that are not at least 2/3 vertically visible.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.12 Specific Behaviors during Execution

3.12.1 Transition Condition Evaluation for Reactivated Unit Procedures

The following behavior applies to the evaluation of transition conditions in case of reactivated unit procedures:

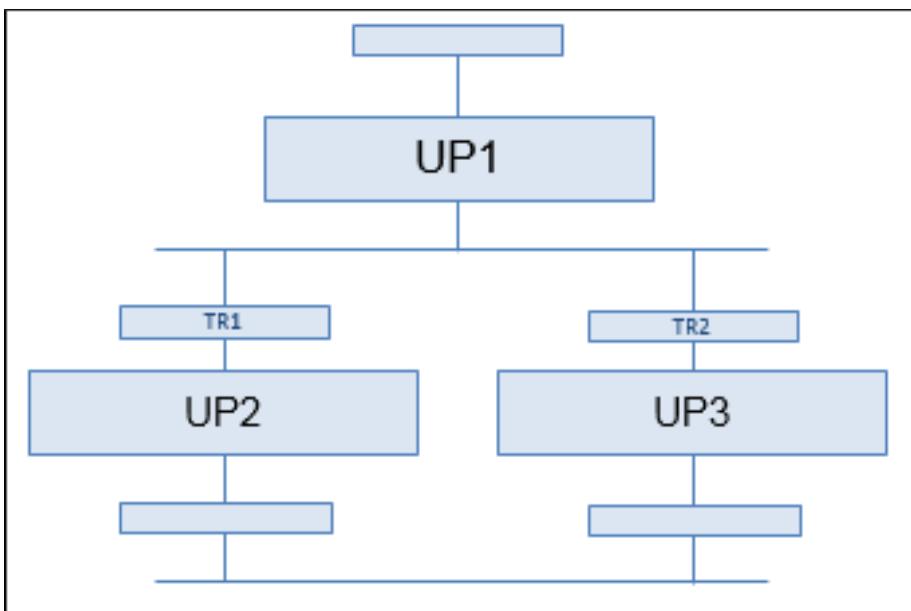


Figure 2: Evaluation of transition conditions in case of reactivated unit procedures

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- UP1 was aborted and reactivated before TR1 and TR2 have been evaluated.
In this case, the updated output variable of the reactivated UP1 is evaluated.
- UP1 was reactivated after TR1 and TR2 have been evaluated (e.g. TR1 I true) and UP2 is active.
In this case, the updated output variable of the reactivated UP1 can no longer be evaluated for TR1 and TR2 because the system has already passed the evaluation of the transition conditions.
- UP1 is completed and has been reactivated, TR1 and TR2 are stalled at the same time.
 - If TR1 and TR2 are still stalled when the reactivated UP1 is completed, the system re-evaluates the transitions based on the output variables of the latest unit procedure instance, which may result in transitions that are no longer stalled.
 - If either the stalled TR1 or TR2 was already forced manually when the reactivated UP1 is completed, processing has already continued according to the SFC model and the transitions are not re-evaluated anymore.

3.13 Cold Chain Tracking during Execution

TIP

The system allows to add new inheritance rules. For details, please see chapter "Adapting the Order Service to Introduce New CCT Inheritance Rules" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

3.13.1 GID-3695977 No Inheritance Rule

No inheritance data is calculated if the inheritance rule is defined as **No Inheritance** for the material (part) of the subplot.

The TITR counters of the subplot are not updated.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.13.2 GID-3632063 Worst Case Inheritance Rule

Inheritance logic for cold chain tracking requires FT PharmaSuite to be configured to communicate with Warehouse Management.

The worst case inheritance rule calculates the subplot's TITR values as

- TR_{out} = temperature range of work center's storage unit
- TRx_{in} = temperature range x of identified subplot
- Time process = time since identification until current time
- Ct = cumulated time
- $Ct_{identification}$ = cumulated time at identification
- For each temperature range of the target subplot, the cumulated time is calculated for each identified subplot as:
 - $Ctx = Ctx_{identification} + \text{Time process if } TR_{out} \text{ overlaps or is equal to } TRx_{in}$
 - The worst Ctx value of all identified sublots is inherited to the target subplot TRx .

Additional rules:

- If the identification of a subplot is revoked (see (GID-2670360) **Undo Identification** in "Functional Requirement Specification Dispense and Inline Weighing" [A8] [\(GID-2665873\)](#)), it's TITR values are not inherited anymore.
- Even if Inline weighing declares an incoming subplot as waste (see (GID-2670366) **Re-open / declare waste** in "Functional Requirement Specification Dispense and Inline Weighing" [A8] [\(GID-2665873\)](#)), it's TITR values are inherited.

Example

Scenario	Two sublots with overlap temperature range with target storage unit temperature range	Two sublots with one subplot that has no cumulated time	Two sublots with target storage that has no temperature range	Two sublots with one temperature range not supported by Target material
Temperature Range1/Incoming subplot1	Range 1 [-20 °C to 0 °C]	Range 1 [-40 °C to 0 °C]	Range 1 [-20 °C to 0 °C]	Range 1 [-20 °C to 0 °C]
Temperature Range1/Incoming subplot2	Range 2 [0 °C to 4 °C]	Range 2 [1 °C to 15 °C]	Range 2 [0 °C to 4 °C]	Range 2 [5 °C to 20 °C]

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Scenario	Two sublots with overlap temperature range with target storage unit temperature range	Two sublots with one subplot that has no cumulated time	Two sublots with target storage that has no temperature range	Two sublots with one temperature range not supported by Target material
Cumulated time for Temperature Range1	subplot1 - 1 min subplot2 - 10 min	subplot1 - 3 days subplot2 - 0 min	subplot1 - 1 min subplot2 - 10 min	subplot1 - 5 min subplot2 - 1 min
Cumulated time for Temperature Range2	subplot1 - 5 min subplot2 - 1 min	subplot1 - 12 mins subplot2 - 0 min	subplot1 - 5 min subplot2 - 1 min	subplot1 - 1 min subplot2 - 1 min
Time taken since identification Sublot1	3 min	20 min	--	3 min
Time taken since identification Sublot2	1 min	1min	--	3 min
Target storage unit temperature range	[-4°C to 4 °C]	[20°C to 25 °C]	--	[-10°C to 0 °C]
Inherited cumulated time for target sublots with temperature range1	11 min	3 days	10 min	8 min
Inherited cumulated time for target sublots with temperature range2	8 min	12 mins	5 min	Temperature range is not relevant.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

3.13.3 Examples for Inheritance

3.13.3.1 INHERITANCE WORST CASE

For Dispense operations in D Weigh and D Identify Material:

Scenario	D Identify When subplot is identified using ID Only	D Weigh Identify sublots with underweight. Target storage unit temperature range overlaps temperature range TR1 and TR2 Time taken since identification is 1 min	D Weigh Identify sublots with underweight. Sublot 2 has no temperature range.	D Weigh Identify subplot with same quantity as target Time taken since identification is 1 min TIP System will not handle it if target subplot is replaced
Temperature Range/Incoming subplot1	Range 1 [-1.5 °C to 7 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]	Range 1 [-1.5 °C to 7 °C]
Temperature Range/Incoming subplot2	N/A	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]	N/A	N/A
Cumulated time for Temperature Range1	subplot1 - 1 min	subplot1 - 4 min subplot2 - 9 min	2 min	7 min
Cumulated time for Temperature Range2	N/A	subplot1 - 5 min subplot2 - 3 min	5 min	N/A

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Scenario	D Identify When subplot is identified using ID Only	D Weigh Identify sublots with underweight. Target storage unit temperature range overlaps temperature range TR1 and TR2 Time taken since identification is 1 min	D Weigh Identify sublots with underweight. Sublot 2 has no temperature range.	D Weigh Identify subplot with same quantity as target Time taken since identification is 1 min TIP System will not handle it if target subplot is replaced
Inherited cumulated time for Temperature Range1	1 min	Cumulated time after identifying Sublot 1 5 min Cumulated time after identifying Sublot 2 10 min	2 min	8 min
Inherited cumulated time Temperature Range2	N/A	Cumulated time after identifying Sublot 1 6 min Cumulated time after identifying Sublot 2 6 min	5 min	N/A

For Output Weighing operations:

Scenario	O Weigh	O Weigh	O Weigh
	Two sublots from previous inline operation When a subplot is prepared	Two sublots from previous inline operation When weighing prepared subplot Rule is set to Worst Case Prepared subplot has no cumulated time	Two sublots from previous inline operation. When weighing prepared subplot Rule is set to No Inheritance Prepared subplot has no cumulated time
Temperature Range/Incoming subplot1	Range 1 [-1.5 °C to 7 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]
Temperature Range/Incoming subplot2	Range 1 [-1.5 °C to 7 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]	Range 1 [-1.5 °C to 7 °C] Range 2 [7 °C to 14 °C]
Cumulated time for temperature range1 at identification	subplot1 - 1 min subplot2 - 10 min	subplot1 - 6 min subplot2 - 9 min	subplot1 - 6 min subplot2 - 9 min
Cumulated time for temperature range2 at identification	N/A	subplot1 - 5 min subplot2 - 3 min	subplot1 - 5 min subplot2 - 3 min
Inherited cumulated time for target sublots of temperature range1	0 min	9 min	0 min
Inherited cumulated time for target sublots of temperature range2	N/A	5 min	0 min

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4 Monitoring and Recovery Capabilities (SR1200+)

4.1 GID-2665851 Access Control (SR1200.1.2)

The system allows to control the access to the PharmaSuite server monitoring tool.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

4.2 Operation Execution (OE) Server (SR1200.1+)

4.2.1 GID-2666343 Monitoring (SR1200.1.1)

The PharmaSuite server monitoring tool allows to monitor the status of an OE server including its current runtime operations.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

4.2.2 GID-2666344 Resuming Server-run Operations (SR1200.1.3)

Running operations can be held and resumed. Changing the status of running operations is controlled by one signature class.

Per default configuration, the change action must be confirmed by a single signature (see **Electronic Signatures (SR1095.50.2)** in "Functional Requirement Specification Non-functional Requirements" [A10] ([GID-2665873](#))).

After the electronic signature has been performed successfully, the system automatically records a "hold operation"-specific exception for the operation or adds a "resume operation"-specific comment to the recorded exception. The risk level of the exception can be configured.

For details, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

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4.3 Electronic Batch Recording (EBR) Server (SR1200.2+)

4.3.1 GID-2666346 Unload and Reload Procedures of Orders and Workflows (SR1200.2.2)

Procedures of orders and workflows running on the EBR server can be unloaded and reloaded later without shutting down the EBR server. Changing the loading-related status of running procedures is controlled by one signature class.

Per default configuration, the change action must be confirmed by a single signature (see **Electronic Signatures (SR1095.50.2)** in "Functional Requirement Specification Non-functional Requirements" [A10] [\(GID-2665873\)](#)).

After the electronic signature has been performed successfully, the system automatically records an "unload procedure"-specific exception for all unit procedures of the order and workflow or adds a "load procedure"-specific comment to the recorded exception. The risk level of the exception can be configured.

For details, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] [\(GID-2665873\)](#).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

4.4 Recovery Capabilities (SR1200.3+)

PharmaSuite provides certain recovery capabilities to resolve issues during execution that are caused by a faulty or undefined recipe parameter setup (e.g. information flow expressions of a process parameter or transition conditions cannot be calculated by the system).

The recovery can be achieved by aborting a phase (in the Production Execution Client), repairing a phase by overriding parameter data (in the Production Execution Client), or forcing a specific transition (in the Production Management Client). The usage of each of these measures requires specific privileges and is tracked as an exceptional situation in the batch report.

For details related to forcing a transition, see **Force Execution Transition (SR1084.43)** for batch-specific orders and **Force Execution Transition (SR1085.2.13)** for workflows in "Functional Requirement Specification Runtime Data Management" [A4] [\(GID-2665873\)](#).

4.4.1 GID-2666347 Abort Phase (SR1200.3.1)

The completion of an active phase can be triggered by tapping the **Abort** button in the Action column of the **Navigator (SR3071.4.2.3)** view [\(GID-2665764\)](#). This results in a specific "Phase execution aborted" exception with which the system tracks the forced phase completion and adds it to the batch report.

- The exception text reads "**Phase execution aborted**" (configured in the **pec_ExceptionMessage** message pack (**PhaseExecutionSkippedExc_Msg**)).

- The default risk assessment of the "Phase execution aborted" exception is **high** (configured with the **PhaseExecutionSkippedExcRisk** configuration key).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

- The signature privilege of the "Phase execution aborted" exception is defined with the **PEC_Signature_PhaseExecutionSkipped** access privilege.
- Aborting a phase in this way bypasses all UI extensions (e.g. phase completion signature) and other phase-specific checks that may veto the completion.
- After the phase has been aborted in this way, processing of the operation continues normally, according to the SFC modeling in the underlying recipe.

The information flow will be broken if any output variable of such an aborted phase is used later on in the control recipe. Such an aborted phase already represents its own instance of the phase, however, any output variable of such an aborted phase is undefined except for the output variables provided by the framework (see **Output Variables (SR0900.9+)** requirement ([GID-2665867](#))).

The information flow will be broken if any output variable of such an aborted phase is used later on in the control recipe. Such an aborted phase already represents its own instance of the phase, however, any output variable of such an aborted phase is undefined except for the output variables provided by the framework (see **Output Variables (SR0900.9+)** requirement ([GID-2665867](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

4.4.2 *GID-2666348 Repair Phase (SR1200.3.2)*

Repairing an active phase by overriding its process parameters can be triggered by tapping the **Repair** button in the Action column of the **Navigator (SR3071.4.2.3)** view ([GID-2665764](#)).

- Repairing is not available for phases that are explicitly excluded from being repaired. The affected phases are maintained with the **PhaseRepairModeBlackList** configuration key.

For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

- Repairing is only available as long as no exceptions have been recorded for a phase. This restriction does not include "phase repair mode"- and "Exception canceled"-specific exceptions (see **Cancellation of Exception (SR1079.2.7)** feature ([GID-2666373](#))).

Customer-specific implementations can exclude specific exceptions from this rule.

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Repairing consists of the following steps:

1. The current phase instance is aborted automatically and the system records a specific "Phase repair mode started" exception that is assigned to the aborted instance of the phase and added to the batch report.
2. The system automatically creates a new instance of the phase that is first displayed in the repair mode that allows to override its process parameters.

For editing the process parameter values, the repair mode provides the editors that are available in the Parameter Panel of Recipe and Workflow Designer, except for the Expression Editor. For this reason, e.g. an equipment object-related parameter cannot be repaired.

3. Upon completion of the repair mode, the system records a specific "Phase parameters repaired" exception that is assigned to the new instance of the phase and added to the batch report.
4. Finally, the new instance of the phase is displayed again with its regular user interface and can be processed as usual.

Starting the phase repair mode:

- The exception text reads "**Phase repair mode started**" (configured in the **pec_ExceptionMessage** message pack (**PhaseRepairModeStartedExc_Msg**)).
- The default risk assessment of the "Phase repair mode started" exception is **high** (configured with the **PhaseRepairModeExcRisk** configuration key).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

- The signature privilege of the "Phase repair mode started" exception is defined with the **PEC_Signature_PhaseRepairMode** access privilege.
- For aborted phases, all UI extensions (e.g. phase completion signature) and other phase-specific checks that may veto the completion are bypassed.

Display of the new phase instance in the repair mode in the **Execution Window** ([SR3071.4.2.4.2](#)) view ([GID-2665765](#)):

1. Repairing: <Phase name> [instance count]
(indicated by a different text color)
2. Table of parameters
3. **Confirm** button

Completion of the phase repair mode:

- The exception text reads "**Phase parameters repaired**" (configured in the **pec_ExceptionMessage** message pack (**PhaseRepairModeCompletedExc_Msg**)).
 - For each modified parameter, the exception text is appended by:
Parameter: <parameter identifier>
Attribute: <attribute identifier>, original: <value>, new: <value>
 - If no value is defined, "N/A" is displayed.
 - If no parameter was modified at all, the exception text is appended by:
No parameters changed.
- The default risk assessment of the "Phase parameters repaired" exception is **high** (configured with the **PhaseRepairModeExcRisk** configuration key).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

- The signature privilege of the "Phase parameters repaired" exception is defined with the **PEC_Signature_PhaseRepairMode** access privilege.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

4.5 GID-2666345 Monitoring (SR1200.2.1)

The PharmaSuite server monitoring tool allows to monitor the status of an EBR server including its current runtime procedures.

Attribute	Value
MES-Business: GxP relevance	No
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

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5 Automation Layer Integration (SR1086+)

5.1 GID-2665856 Automation Layer Interface (SR1076.13)

The system shall support inventory operations invoked by automation layer systems (e.g. SCADA, BES, DCS, or PLC). This does not include the technical conversion from those protocols. A semantic interface shall be provided.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

5.2 GID-2665857 Scales (SR1091.9)

The system shall be able to communicate with scales.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.2.1 GID-2666349 Scale Interface (SR1091.9.1)

It shall be possible to connect scales by a serial port interface.

At least four serial port interfaces shall be addressable by one dispensing work center.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.2.2 GID-2666350 Multi-range Scales (SR1091.9.2)

The system shall support multi-range scales. The following characteristics apply:

- Up to three ranges for each scale shall be supported.
- Each range shall have a specific precision.
- The ranges shall not be overlapping.
- The ranges do not have gaps between each other.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.2.3 **GID-2666351 Supported Protocols (SR1091.9.3)**

At least the following protocols/scales shall be supported:

- xBPI protocol of Sartorius
- SICS protocol of Mettler
- For details, see **Scale Drivers (SR1086.1)** details (GID-2373628).

The system shall allow a system integrator to add support for additional protocols to an installed system.

It must be possible to add support for additional protocols with a minimized impact on the revalidation of the system.

It shall be possible to test additional protocol implementations and to validate the connectivity to the scales without using Dispense-specific phases.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3 **GID-2665858 Scale Drivers (SR1086.1)**

The system shall be able to interface with scales of various vendors using their specific scale protocols. The following essential functions are mandatory:

- Get actual weight continuously
- Get last stable weight
- Zero scale

The following functions are important but optional (depending on the scale model):

- Tare scale
- Clear tare
- Manual tare
- Reset scale
- Disable scale value
- Read serial number
- Set nominal weight and tolerance

- Select scale connected to a terminal
- Start automatic internal calibration
- Start automatic external calibration
- Set dosage parameters

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.1 *GID-2666352 xBPI Protocol (SR1086.1.5)*

The system shall be able to interface with Sartorius scales / indicators using the xBPI protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.2 *GID-2666353 SICS Protocol (SR1086.1.6)*

The system shall be able to interface with Mettler Toledo scales using SICS protocol (incl. IND terminals from IND780 on).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.3 *GID-2666354 Mettler Toledo ID1, ID2, ID3 Terminals (SR1086.1.7)*

The system shall provide an ID1 driver that allows to interface with Mettler Toledo scale terminals ID1 [Plus/Minus], ID2, or ID3 [s] (MMR protocol-based).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.4 *GID-2666355 Mettler Toledo ID5, ID7, IND Terminals (SR1086.1.11)*

The system shall be able to interface with Mettler Toledo scale terminals ID5, ID7, or IND (including IND terminals up to IND690) (MMR protocol-based).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.5 *GID-2666356 Mettler Toledo GD12 Scale Interface (SR1086.1.14)*

The system shall be able to interface with Mettler Toledo scale interfaces GD12 (IDNet protocol-based).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.6 *GID-2666357 Ethernet Protocol (SR1086.1.16)*

The system shall be able to interface with scales that are connected via Ethernet network (TCP/IP).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.7 *GID-2666358 SBI4BP Protocol (SR1086.1.17)*

The system shall be able to interface with Sartorius scales using SBI4BP protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.8 *GID-2666359 SBI4LA Protocol (SR1086.1.18)*

The system shall be able to interface with Sartorius scales using SBI4LA protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.9 GID-2666360 SBI4QC Protocol (SR1086.1.19)

The system shall be able to interface with Sartorius scales using SBI4QC protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.10 GID-2666361 SBI4LP Protocol (SR1086.1.20)

The system shall be able to interface with Sartorius scales using SBI4LP protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.3.11 GID-2666362 SBI4AC Protocol (SR1086.1.21)

The system shall be able to interface with Sartorius scales using SBI4AC protocol.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

5.4 GID-2665859 Label Printer (SR1086.3)

The system shall interface with label printers via standard MS Windows printer drivers.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

5.5 GID-2665860 Automation Integration (SR1086.4)

The system shall provide an Automation Integration framework that allows to read and write equipment-specific tags during the execution of control recipes or workflows, e.g. via Live Data / OPC server.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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5.5.1 GID-2666363 Supported Live Data Data Types (SR1086.4.1)

The system shall support the following Live Data data types (mapped to common OPC names):

- Integer (SHORT, LONG, CHAR, BYTE, USHORT, ULONG)
- Float (REAL4)
- Double (REAL8)
- String (STRING)
- Boolean (BOOLEAN)

The following table provides a more detailed view of the mapping:

OPC standard data type	Description	Common OPC names	Mapped to Live Data data types	Mapped to PharmaSuite technical property
VT_EMPTY	Default/Empty (nothing)	---	N/A	N/A
VT_NULL	---	---	N/A	N/A
VT_I1	1-byte signed integer	CHAR	Integer	BigDecimal
VT_I2	2-byte signed integer	SHORT	Integer	BigDecimal
VT_I4	4-byte signed integer	LONG	Integer	BigDecimal
VT_R4	4-byte (single precision) real	REAL4	Float	BigDecimal
VT_R8	8-byte (double-precision) real	REAL8	Double	BigDecimal
VT_CY	Currency	CURRENCY	not supported	N/A
VT_DATE	Date	DATE	not supported	N/A
VT_BSTR	Text (UNICODE)	STRING	String	String
VT_ERROR	Error code	---	N/A	N/A
VT_BOOL	Boolean (TRUE=-1, FALSE=0)	BOOLEAN	Boolean	Boolean
VT_UI1	1-byte unsigned integer	BYTE	Integer	BigDecimal
VT_UI2	2-byte unsigned integer	USHORT	Integer	BigDecimal

OPC standard data type	Description	Common OPC names	Mapped to Live Data data types	Mapped to PharmaSuite technical property
VT_UI4	4-byte unsigned integer	ULONG	Integer	BigDecimal
VT_ARRAY	Arrays	ARRAY OF ...	not supported	N/A

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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6 Exception Management (SR1079+)

Review by exception is one of the key features of an EBR system that allows to reduce time to market significantly. Review by exception, as a basis, requires a proper exception management handling on the shop floor during processing. In addition, the system has to offer capabilities for in-time reviews of exceptions on the shop floor. If specific exceptions should be documented and reviewed with an external QMS, the exception data can be transferred at the time of the exception creation.

This section provides the requirements relevant to exception management:

- **Exception categories (SR1079.1+)** requirements ([GID-2665862](#))
- **Exception recording (SR1079.2+)** requirements ([GID-2665863](#))

Exceptions need to be recorded to document irregular circumstances that have occurred during processing. They are an important element of the processing report (batch, workflow). Exception recording can be triggered either by a user, a phase, an operation, a unit procedure, or the system (e.g. Production Management Client, Operation Execution server). Independent of the category, each exception is linked to a phase, operation, or unit procedure. In the Exception Window, the system lists the exceptions and their comments. A header bar and a control bar complete the Exception Window.

Server-run-specific exceptions are only listed in the Details panel of the exception dashboard. See **Exception Dashboard (SR3200.3+)** in "Functional Requirement Specification Review and Approval" [A1] ([GID-2665873](#)).

6.1 Exception Categories (SR1079.1+)

The following exception categories are available during exception recording. Additionally, specific behavior applies to some exceptional situations.

6.1.1 *GID-2666364 User-defined Exceptions (SR1079.1.1)*

PharmaSuite supports free-text entries to be recorded as a user-defined exception of a phase, operation, or unit procedure. The following attributes are available:

- exception description,
- extension of exception description by **pre-defined text (SR1079.2.10)** data ([GID-2666372](#)),
- risk assessment,
- classification (disabled),
- status, and
- **signature (1079.2.1)** data ([GID-2666374](#)).

In the Production Execution Client, the available risk levels depend on the system configuration.

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Exceptions of this category can be recorded for

- active phases via work area of the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)),
- completed phases via action column of the **Navigator (SR3071.4.2.3)** view ([GID-2665764](#)),
- active operations via the Operation button in the list of running processes of the Cockpit.
- active unit procedures via the Unit Procedure button in the list of running processes of the Cockpit.

Risk of the exception to patient safety, product quality, or data integrity: **High, Medium, Low, None**.

In the Production Execution Client, the **None** risk level is not available in case the **Activity/ExceptionViewInputActivity/WithRiskClassNone** configuration key is set to **false** and the operator does not have the **EBR_AccessRight_SetRiskClassNone** access privilege.

The initial status is **Open**.

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.1.1 GID-2667003 USER-DEFINED EXCEPTIONS IN PRODUCTION RESPONSE CLIENT (SR1079.1.1.1)

For user-defined exceptions added in the Production Response Client, the following additional attributes are available:

- result (mandatory to close an exception),
- CAPA ID: to reference corrective and preventive actions related to the exception, and
- reference to a specific phase, operation, or unit procedure for which the exception is recorded (mandatory).

The characteristics of the following additional attributes have changed:

- status (mandatory) and
- risk assessment (mandatory).

Additionally, exceptions of this category can be recorded for

- operations via **Details Panel (SR3200.3.3)** of the **Exception Dashboard (SR3200.3+)**, see "Functional Requirement Specification Review and Approval" [A1] ([GID-2665873](#)).

Result: ---, **Non-event, Note to record, Deviation.**

Status: **Open, In review, To be closed, Closed, N/A.** The initial status is **Open**.

Risk of the exception to patient safety, product quality, or data integrity: **High, Medium, Low, None.**

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

See also **Production Response Client (SR3071.5+)** and **Exception Dashboard (SR3200.3+)** in "Functional Requirement Specification Review and Approval" [A1] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.2 *GID-2666365 User-triggered Exceptions (SR1079.1.2)*

PharmaSuite allows to manually trigger and record an exception that is defined by the respective phase as a user-triggered exception of a phase. The phase may provide several pre-defined alternative exceptions that cover expected exception cases (e.g. manual identification for active phases). The following attributes are available:

- exception description,
- extension of exception description by **pre-defined text (SR1079.2.10)** data ([GID-2666372](#)),
- risk assessment,
- classification (disabled),
- status, and
- **signature (SR1079.2.1)** data ([GID-2666374](#)).

These exceptions can be recorded for an active phase via work area of the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)).

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The description and the risk that is attributed to the exception (**High**, **Medium**, **Low**, **None**) are controlled by the phase and can be configured by the process parameters in Recipe and Workflow Designer.

The initial status is **Open**.

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] [\(GID-2665873\)](#).

Explicit capability-related (SR1079.1.2.1) exceptions [\(GID-2667004\)](#) are also user-triggered exceptions.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.2.1 GID-2667004 EXPLICIT CAPABILITY-RELATED EXCEPTIONS (SR1079.1.2.1)

Depending on certain capabilities that are configurable in Recipe and Workflow Designer or in the system configuration, explicit capability-related exceptions can relate to phases, operations, or unit procedures. They are triggered by the following Cockpit actions:

- Detach with **detach-specific (SR1089.6.1.2)** exceptions [\(GID-2666931\)](#) for operations,
- Actions for event-triggered operations with **ETO-specific (SR1089.6.2.9+)** exceptions [\(GID-2666942\)](#),
- Pause unit procedure with **pause unit procedure-specific (SR1089.8.3.2)** exception [\(GID-2666924\)](#),
- Detach with **detach-specific (SR1089.8.4.2)** exceptions [\(GID-2666918\)](#) for unit procedures,
- Abort and reactivate unit procedure with **reactivate unit procedure-specific (SR1089.8.5.1)** exception [\(GID-2666926\)](#), and
- Append workflow to a unit procedure with append workflow-specific exception **during unit procedure processing (SR1089.8.2.2)** [\(GID-2666922\)](#) or **at workflow start (SR1089.7.1.2)** [\(GID-2665805\)](#).

The recording during execution follows the same UI pattern as the **user-triggered exceptions (SR1079.1.2)** of phases [\(GID-2666365\)](#).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.3 GID-2666366 Post-completion Exceptions (SR1079.1.3)

PharmaSuite allows to manually trigger and record an exception that is defined by the respective phase as a post-completion exception of a phase. The phase may provide several pre-defined alternative exceptions that cover expected exception cases (e.g. label reprint for completed phases). The following attributes are available:

- exception description,
- extension of exception description by **pre-defined text (SR1079.2.10)** data ([GID-2666372](#)),
- risk assessment,
- classification (disabled),
- status, and
- **signature (1079.2.1)** data ([GID-2666374](#)).

These exceptions can be recorded for a completed phase via action column of the **Navigator (SR3071.4.2.3)** view ([GID-2665764](#)).

The description and the risk that is attributed to the exception (**High, Medium, Low, None**) are controlled by the phase and can be configured by the process parameters in Recipe and Workflow Designer.

The initial status is **Open**.

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.3.1 GID-2667005 LOCKING OF OPERATIONS (SR1079.1.3.1)

In case a post-completion exception is triggered for an already completed operation, the system locks the related operation until the recording of the exception has been completed.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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6.1.4 GID-2666367 System-triggered Exceptions (SR1079.1.4)

PharmaSuite supports exceptions that are automatically triggered by the phase based on the data recorded during execution as a system-triggered exception of a phase. The phase may provide several pre-configured or on-phase-level-configured exceptions that cover expected exception cases (e.g. limit violation). In an **exception dialog (SR1089.3.8.1)** UI element ([GID-2666977](#)) with a warning or error message, the phase prompts the user to record the exception. The following attributes are available:

- exception description,
- extension of exception description by **pre-defined text (SR1079.2.10)** data ([GID-2666372](#)),
- risk assessment,
- classification (disabled),
- status, and
- **signature (1079.2.1)** data ([GID-2666374](#)).

These exceptions can be recorded for an active phase via work area of the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)).

The description and the risk that is attributed to the exception (**High, Medium, Low, None**) are controlled by the phase and can be configured by the process parameters in Recipe and Workflow Designer.

The initial status is **Open**.

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Implicit capability-related (SR1079.1.4.2) exceptions ([GID-2667007](#)) are also system-triggered exceptions.

The execution of the following use cases in the Production Management Client or Data Manager results in an automatic recording of a system-triggered exception. The signatures applied for the confirmation of the use case are also used to record the exceptions:

- Unlock and unregister an operation with the **Remove Object Locks** task, see **Unlock S88 Runtime Operation (SR3071.3.6.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Change the list of workflows appended to an order step with the **Manage Orders** use case, see **Append Workflows - Related Exceptions (SR1084.34.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Reactivate non-Dispense order step with the **Manage Orders** use case, see **Reactivate Non-Dispense Order Step - Related Exceptions (SR1084.35.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).

- Abort non-Dispense order step with the **Manage Orders** use case, see **Abort Non-Dispense Order Step - Related Exceptions (SR1084.36.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Cancel order/workflow or abort unit procedure with the **Manage Orders/Workflow** use cases, see **Cancel Order (SR1084.3)**, **Abort Non-Dispense Order Step - Related Exceptions (SR1084.36.1)**, **Cancel Order (SR1084.100.7)**, and **Cancel Workflow (SR1085.2.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Finish order with aborted order steps with the **Manage Orders** use case, see **Finish Order With Aborted Order Steps - Related Exceptions (SR1084.42.1)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Order or workflow changes have been tracked, see **Order and Workflow Changes (SR1084.4)** in "Functional Requirement Specification Runtime Data Management" [A4] ([GID-2665873](#)).
- Force unbinding of an equipment entity in Data Manager, see **Force unbinding an equipment entity (SR1099.3.3.7)** in "Functional Requirement Specification Data Management" [A7] ([GID-2665873](#)).
- Save changes of runtime data, such as runtime properties, graph-related data (e.g. status, expiry date), and grouping situations of a bound and read-only equipment entity in Data Manager, see **Change Properties of Equipment Entity in Read-only Status (SR1099.3.3.8)** in "Functional Requirement Specification Data Management" [A7] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.4.1 GID-2667006 EXCEPTIONAL ACTIONS (SR1079.1.4.1)

System-triggered exceptions support use cases that require certain system actions by a phase when the exception has been signed.

Example: Perform and record a subplot identification after the failed quality status check has been signed as an exception.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.1.4.2 GID-2667007 IMPLICIT CAPABILITY-RELATED EXCEPTIONS (SR1079.1.4.2)

Dependent on certain capabilities that are configurable in Recipe and Workflow Designer, implicit capability-related exceptions can relate to operations. They are triggered automatically by the system with

- **Escalation-specific (SR1089.6.3.4)** exceptions ([GID-2666947](#)),
- **Operation Execution (OE) server-run-specific (SR1089.6.4.2)** exceptions ([GID-2666957](#)), and
- **Triggered Operation Management (TOM) server-run-specific (SR1089.6.4.3)** exceptions ([GID-2666958](#)).

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The recording during execution is done without user interaction.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.1.5 *GID-2666368 System-triggered Error Messages (SR1079.1.6)*

PharmaSuite supports error messages that are automatically displayed by the phase based on the data recorded during execution (e.g. fixed checks during material identification). The display of the messages is configured on phase level.

The error message dialog does not provide a button that allows to record any exception.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.1.6 *GID-2666369 System-triggered versus User-triggered (SR1079.1.7)*

In case a system-triggered exception is being recorded, the Exception Window does not show the optional user-triggered exceptions.

Only the list of already existing exceptions is shown (if applicable) along with the exception panel that allows to sign the actual exception to be recorded.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.1.7 *GID-2666370 One User-triggered Exception at a Time (SR1079.1.8)*

After a user-triggered exception has been selected for recording, all other available user-triggered exceptions displayed in the Exception Window are disabled.

They are enabled again once the Exception Window is closed (with the **Back** button) and reopened (with the **Exception** button).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.1.8 GID-2666371 Default Exception Text (SR1079.1.9)

The exception description of any exception is a concatenation of

- the exception text defined with the related process parameter and
- the exception-specific information added by a phase (e.g. old/new values).

In case no exception text has been configured in the recipe as part of the related process parameter and no exception-specific information was added by the phase, the system adds a localized **Default exception text** to user-triggered or post-completion exceptions during execution.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2 Exception Recording (SR1079.2+)

The following features are relevant to exception recording:

- **Cancelation of exception (SR1079.2.7)** feature ([GID-2666373](#))
- **Signatures for exceptions and comments (SR1079.2.1)** feature ([GID-2666374](#))
- **List of exceptions (SR1079.2.2)** feature ([GID-2666375](#))
- **Comments related to an exception (SR1079.2.3)** feature ([GID-2666376](#))
- **Bookmark (SR1079.2.4)** feature ([GID-2666377](#))
- **Exception marker (SR1079.2.5)** feature ([GID-2666378](#))
- **Exception - Page break (SR1079.2.6)** feature ([GID-2666379](#))
- **Inform an External QMS about New Exceptions (SR1079.2.8)** feature ([GID-2666380](#))
- **Exception Updated by an External QMS (SR1079.2.9)** feature ([GID-2666381](#))

6.2.1 GID-2666372 Extend Exception Description and Comment by Pre-defined Text (SR1079.2.10)

The system allows to extend an exception description and an exception comment description by a pre-defined text. The pre-defined texts are controlled by the phase, operation, and unit procedure (see **Procedural structure – Pre-defined Texts for Exceptions and Comments (SR3146.9.4.6)** and **Header Attributes of Building Blocks (SR3146.10.4)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#))).

The Exception Window allows to select a pre-defined text from the list configured in the recipe or workflow (only if at least one list has been defined).

- If a list has been defined, the selection of a text is mandatory.
- If a list contains only one entry, this entry is pre-selected.

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- If no list has been selected for a phase, the list of the superordinate operation is used.
- If no list has been selected for an operation, the list of the superordinate unit procedure is used.
- If no list has been selected for a phase, operation, or unit procedure, the related UI elements are not available during execution and review by exception.

The length of the visible pre-defined text (pre-defined header) can be configured. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Pre-defined texts are available in the following use cases:

- Add exception during execution: execution-specific text is appended to the exception description
- Cancel exception: execution-specific text is appended to the exception description
- Add comment to exception during execution: execution-specific text is appended to the exception comment description
- Add comment during review by exception: review-specific text is appended to the exception comment description
- Add exception during review by exception: review-specific text is appended to the exception description

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.2 **GID-2666373 Cancellation of Exception (SR1079.2.7)**

The system prevents that an operator cancels an exception without adding this information to the batch report. This applies to any phase-specific exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)), **system-triggered (SR1079.1.4)** category ([GID-2666367](#)), or **post-completion (SR1079.1.3)** category (GID-2373649).

The cancellation of an exception can be triggered by tapping the **Back** button in the Exception Window. This results in the display of a question dialog. Upon confirmation, a specific "Exception canceled" exception needs to be signed with which the system tracks the cancellation of the original exception (e.g. related to a limit violation) and adds it to the batch report.

- The exception category remains the same as the category of the original exception that was canceled.
- The exception text of the original exception is kept, it is, however prepended with "**Exception canceled.**" (configured in the **wad_ExceptionMessage** message pack (**canceledException_Msg**)).

- The default risk assessment of the "Exception canceled" exception is **low** (configured with the **CanceledExceptionRisk** configuration key).

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

- The signature privilege of the "Exception canceled" exception is defined with the **PEC_Signature_CanceledException** access privilege.

By default, there is no **Cancel** button available in the exception dialog of a system-triggered or user-triggered exception. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.3 *GID-2666374 Signatures for Exceptions and Comments (SR1079.2.1)*

Depending on the system configuration, exceptions and their comments can be confirmed by a single or double signature (see **Electronic Signatures (SR1095.50.2)** in "Functional Requirement Specification Non-functional Requirements" [A10] ([GID-2665873](#))).

The Production Execution Client uses the reason(s) defined with the **Reason (1st)** and **Reason (2nd)** attributes of the signature privilege process input parameter of a master recipe or master workflow in the following cases:

- **Phase-completion (SR1089.4+)** signatures ([GID-2665846](#))
This does not apply to pre-defined phase completion signatures.
- **System-triggered (SR1079.1.4)** exceptions ([GID-2666367](#))
- **User-triggered (SR1079.1.2)** exceptions ([GID-2666365](#))
- **Explicit capability-related (SR1079.1.2.1)** exceptions

In case no reason has been defined in the master recipe or master workflow, the default value defined in the access privilege is used.

The following configuration capabilities are not applicable to signatures for exceptions and their comments:

- Comments (no signature-related comments allowed, see **Comments (SR1095.50.2.1.1)** in "Functional Requirement Specification Non-functional Requirements" [A10] ([GID-2665873](#)))
- Signature level (no alternative warnings/errors, implicit or disabled signatures allowed, see **Configuring Electronic Signatures (SR1095.50.2.2)** in "Functional Requirement Specification Non-functional Requirements" [A10] ([GID-2665873](#)))

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.3.1 GID-2667008 PASSWORD PERFORMANCE (SR1079.2.1.5)

In case passwords have already been entered, but the operator returns to any input field of the exception/comment panel, the system deletes the passwords and requires them to be entered again, before the exception/comment can be finally added.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.3.2 GID-2667009 SIGNATURES FOR USER-DEFINED EXCEPTIONS (SR1079.2.1.1)

The signatures that are required to sign an exception of the **user-defined (SR1079.1.1)** category ([GID-2666364](#)) are controlled by a different global signature privilege for both the Production Execution Client and Production Response Client.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.3.3 GID-2667010 SIGNATURES FOR PHASE-DEFINED EXCEPTIONS (SR1079.2.1.3)

The signature that is required to sign a phase-defined exception of the **user-triggered (SR1079.1.2)** category ([GID-2666365](#)), **system-triggered (SR1079.1.4)** category ([GID-2666367](#)), or **post-completion (SR1079.1.3)** category ([GID-2666366](#)) is controlled by the **Risk assessment** attribute of the exception-related process parameter of the phase.

In case no signature privilege is configured on phase level, the signature is controlled by a global default signature privilege per specific risk (**High, Medium, Low, None**).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.3.4 GID-2667011 SIGNATURES FOR EXPLICIT CAPABILITY-RELATED EXCEPTIONS (SR1079.2.1.4)

The signature that is required to sign exceptions of the **explicit capability-related (SR1079.1.2.1)** type ([GID-2667004](#)) is controlled by the **Risk assessment** attribute of the related capability and the matching signature privilege that is assigned to this specific procedural element.

During recipe authoring in Recipe Designer, the system assures that a matching signature is available for each capability-related exception that has been enabled.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.3.5 GID-2667012 SIGNATURES FOR EXCEPTION-RELATED COMMENTS (SR1079.2.1.2)

The signatures that are required to sign an exception-related comment are controlled by a different global signature privilege for both the Production Execution Client and Production Response Client. This does not apply to **mandatory exception-related comments in the Production Execution Client (SR1079.2.3.4) ([GID-2667015](#))**.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.4 GID-2666375 List of Exceptions (SR1079.2.2)

In the Exception Window of a phase, the system lists the exceptions and their comments related to this phase. This applies to active phases (accessible via **control bar (SR3071.4.2.4.3)** area ([GID-2666854](#))) and completed phases (accessible via **Navigator (SR3071.4.2.3)** view ([GID-2665764](#))).

The identifier of an exception is an ascending 3-digit number. It is generated by the system and unique within the context of a batch. If the number of exceptions exceeds the range, the number of digits of the identifier is increased.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.4.1 GID-2667013 UNIT PROCEDURE-SPECIFIC EXCEPTIONS (SR1079.2.2.1)

In the Exception Window of a unit procedure, the system lists the exceptions and their comments related to this unit procedure, its operations, and phases. The Exception Window is accessible in the list of Running processes of the Cockpit, via the Unit Procedure buttons. An operator can add comments to existing exceptions and can record new exceptions related to this unit procedure.

The creation of identifiers of exceptions and comments follows the same pattern as for phase-specific exceptions (**List of Exceptions (SR1079.2.2)** feature ([GID-2666375](#)), **Comments related to an Exception (SR1079.2.3)** feature ([GID-2666376](#))).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.4.2 GID-3083382 OPERATION-SPECIFIC EXCEPTIONS

In the Exception Window of an operation, the system lists the exceptions and their comments related to this operation and its phases. The Exception Window is accessible in the list of Running processes of the Cockpit, via the operation buttons. An operator can add comments to existing exceptions and can record new exceptions related to this operation.

The creation of identifiers of exceptions and comments follows the same pattern as for phase-specific exceptions (**List of Exceptions (SR1079.2.2)** feature [\(GID-2666375\)](#), **Comments related to an Exception (SR1079.2.3)** feature [\(GID-2666376\)](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.5 GID-2666376 Comments Related to an Exception (SR1079.2.3)

In the Production Execution Client, comments can be added per exception. The Production Response Client supports the multi-selection of exceptions to add a comment. The following attributes are available:

- comment description (mandatory),
 - Production Response Client: The description of the use-defined exception is not a mandatory property in case a pre-defined text has been configured in the recipe or workflow.
- extension of exception comment description by **pre-defined text (SR1079.2.10)** data [\(GID-2666372\)](#) (mandatory),
- risk assessment (optional),
- classification (mandatory),
- status (optional), and
- **signature (SR1079.2.1)** data [\(GID-2666374\)](#).

In the Production Execution Client, the editability of the risk level depends on the system configuration (see below).

For both the Production Execution Client and the Production Response Client, the editability of the classification depends on the system configuration (access privilege).

The identifier of a comment is a concatenation of the exception identifier, a hyphen (-), and an ascending 2-digit number.

Comments related to an exception can be added to exceptions of active phases, completed phases, and idle or active operations and unit procedures.

Adding a comment to a closed exception is additionally controlled by the **PRC_AccessRight_AddCommentForClosedException** access privilege (Production Response Client) and the **PEC_AccessRight_AddCommentForClosedException** access privilege (Production Execution Client).

Signature comments of signatures that automatically trigger the creation of an exception are treated as exception-related comments and are marked by "Signature comment:" or "2nd signature comment:", respectively.

Status: **Open**, **In review**, **To be closed**, **Closed** (only available in the Production Response Client).

The **N/A** status is not available when the risk level is other than **None**.

Setting the risk level of an exception to **None** automatically sets **N/A** as fixed status.

In the Production Execution Client, the **None** risk level is not available in case the **Activity/ExceptionViewInputActivity/WithRiskClassNone** configuration key is set to **false** and the operator does not have the **EBR_AccessRight_SetRiskClassNone** access privilege.

Classification: **Information only**, **Machine error**, **Human error**, **Material**, **Method**, **Environment**. The values are customizable.

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

See also **Production Response Client (SR3071.5+)** and **Exception Dashboard (SR3200.3+)** in "Functional Requirement Specification Review and Approval" [A1] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.5.1 GID-2667014 LOCKED EXCEPTION (SR1079.2.3.5)

To prevent a simultaneous review of an exception by several reviewers, the exception shall be locked when it is selected by the first reviewer to add a comment. The lock is made visible to others by displaying an **Under review** marker, preventing the input of the comment and not enabling the buttons to bookmark the exception or add a comment.

The lock is removed as soon the exception is unselected or on leaving the list of exceptions.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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6.2.5.2 GID-2667015 MANDATORY COMMENTS IN PRODUCTION EXECUTION CLIENT (SR1079.2.3.4)

Within the Production Execution Client, in case an exception-related comment is defined as mandatory in the recipe/workflow, both the exception and the comment are recorded with a single signature. The system does not allow to record the exception without a comment.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

6.2.5.3 GID-2667016 ATTRIBUTE PROPAGATION IN PRODUCTION EXECUTION CLIENT (SR1079.2.3.1)

Within the Production Execution Client, the following attributes of a comment are propagated to the related exception:

- risk assessment,
- classification, and
- status (**Closed** is not available).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.5.4 GID-2667017 RISK TRACKING (SR1079.2.3.2)

In case the risk assessment of an exception is changed by adding a comment, the previous risk assessment is automatically rendered into the description of the comment.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.5.5 GID-2667018 ATTRIBUTE PROPAGATION IN PRODUCTION RESPONSE CLIENT (SR1079.2.3.3)

Within the Production Response Client, the following attributes of a comment are propagated to the related exception:

- risk assessment,
- classification,
- status,
- result, and
- CAPA ID.

See also **Details Panel (SR3200.3.3)** in "Functional Requirement Specification Review and Approval" [A1] ([GID-2665873](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.6 GID-2666377 Bookmark (SR1079.2.4)

As long as comments can be added to an exception, the exception can also be bookmarked to simplify the review process.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.7 GID-2666378 Exception Marker (SR1079.2.5)

Phases for which an exception has been recorded are displayed with a red upper left corner as exception marker in the work area of the **Execution Window (SR3071.4.2.4.2)** view ([GID-2665765](#)) and in the **Navigator (SR3071.4.2.3)** view ([GID-2665764](#)). This applies to active and completed phases.

In phases that display values in a table, cells of values for which an exception has been recorded can be displayed with a red upper left corner as exception marker.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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6.2.8 GID-2666379 Exception - Page Break (SR1079.2.6)

In case the exception text exceeds 2048 characters, the system automatically creates new exception-related comments that hold the remaining text (up to another 2048 characters per comment).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.9 GID-2666380 Inform an External QMS about New Exceptions (SR1079.2.8)

In the default configuration, the feature to inform an external QMS is disabled.

In case the feature is enabled, the system shall send an event after the successful creation of an exception. The default rule to trigger an event depends on the risk assessment of the exception. The system allows to configure the risk levels for which an event is sent.

For details related to the risk level, see chapter "Defining the Risk Level for Exceptions" in Volume 2 of the "Technical Guide Configuration and Extension" [A5] ([GID-2665873](#)).

When an event for an exception is sent, the status of the exception is set to **In review** instead of **Open** and the communication status is set to **Sent**.

The event contains the following data:

- Unique exception ID (by default, workflow or order identifier concatenated by ' - ' and the exception identifier). The ID is stored in the exception, since the **Exception updated by an external QMS (SR1079.2.9)** feature uses the ID to determine the exception.
- Workflow or order identifier
- Target batch identifier (empty in case of workflows)
- Target batch material number (empty in case of workflows)
- Exception identifier
- Exception comment (if an exception comment is split due to its length, the event contains the complete comment)
- Exception reference
- Exception risk
- Exception classification
- Exception category
- First signer of exception (date, first name, last name, login name, email)

- Second signer of exception (date, first name, last name, login name, email)
- Station on which sending the exception was triggered. Can be empty.
- Work center on which the linked object was executed during exception creation

The data of the event can be extended.

For details, see chapter "Supporting External Exception Review" in Volume 2 of the "Technical Manual Configuration and Extension" [A5] ([GID-2665873](#)).

Maintenance of exception classification can be disabled. For configuration details, see chapter "Configuration Keys of PharmaSuite" in Volume 4 of the "Technical Guide Configuration and Extension" [A11] ([GID-2665873](#)).

Sending an exception with the **None** risk class is allowed but the status of the exception must not be changed to **In review** on successful sending.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

6.2.10 GID-2666381 Exception Updated by an External QMS (SR1079.2.9)

The system allows an external QMS to update exceptions as long as the related order or workflow is not in the **Reviewed**, **Canceled**, or **Annulled** statuses. The exception status and the communication status can be updated and an external ID can be set. The update is added as a comment to the exception with an implicit signature of the default system user. The description of the comment with the information that it was created by the external QMS can be expanded by a text with a maximum length of 1,500 characters. In case the text is longer, it will be truncated (indicated by ...).

Additionally, the exception dashboard is updated.

It is not allowed for an external system to set a status other than **N/A** for exceptions with the **None** risk class.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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7 Phase-related Common Capabilities (SR0900+)

This chapter describes specific requirements that are common to all PharmaSuite phase building blocks.

Its structure matches the common structure of each Functional Requirement Specification of a phase building block.

Phases allow an operator to perform specific tasks during execution.

Example use cases are:

- Identification of material for dispensing.
- Documenting process-related data.
- Displaying specific instructions.

For details, please refer to the phase-specific Functional Requirement Specifications.

7.1 Layout

The phase provides individual layouts for its representation during execution ([GID-2666382](#)), in the Navigator ([GID-2666383](#)), and in the sub-report ([GID-2666384](#)).

7.1.1 *Representation during Execution (SR0900.1+)*

The representation during execution depends on the phase mode.

7.1.1.1 PREVIEW MODE

Provided by phase-specific implementation.

7.1.1.2 ACTIVE MODE

Provided by phase-specific implementation.

7.1.1.3 COMPLETED MODE

Provided by phase-specific implementation.

7.1.1.4 GID-2667022 COMPLETED MODE AFTER RECOVERY (SR0900.1.1)

Applies only if the phase-specific implementation of the **Completed** mode could not be rendered for technical reasons, since the phase was aborted or aborted for repairing.

- <Phase name> [instance count]: The phase was aborted.
If the phase has been aborted with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).
- <Phase name> [instance count]: The phase was aborted for repairing.
If the phase has been aborted for repairing with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.2 *Representation in Navigator (SR0900.4+)*

The Navigator provides the following details:

7.1.2.1 GID-2667023 PHASE COLUMN (SR0900.4.1)

- <Phase name>
 - Example:
Read processing value

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.2.2 INFORMATION COLUMN

Provided by phase-specific implementation.

7.1.2.3 GID-2667025 INFORMATION COLUMN AFTER RECOVERY (SR0900.4.3)

- Aborted

If the phase has been aborted or aborted for repairing with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.2.4 ACTION COLUMN

Provided by phase-specific implementation (applies to completed phases only).

7.1.2.5 GID-2667027 ACTION COLUMN OF ACTIVE PHASES (SR0900.4.2)

Abort, provides access to **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).

Repair, provides access to **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).

For the availability of the **Repair** button, see **Repair Phase (SR1200.3.2)** capability ([GID-2666348](#)).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.2.6 GID-2667028 ACTION COLUMN AFTER RECOVERY (SR0900.4.4)

For phases that have been aborted or aborted for repairing with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)), none of the phase-specific actions are available.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.3 Representation in Sub-report (SR0900.5+)

The sub-report contains the following information:

7.1.3.1 GID-2667029 COMMON SUB-REPORT ELEMENTS (SR0900.5.1)

- <Start time>
- <Completion time>
- <Unit procedure> / <operation> / <phase>
- <Work center> / <station> / <device> - <phase completion user>

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.3.2 SUB-REPORT ELEMENTS

Provided by phase-specific implementation.

7.1.3.3 GID-2667031 SUB-REPORT ELEMENTS AFTER RECOVERY (SR0900.5.2)

Applies only if the phase-specific implementation of the sub-report elements could not be rendered for technical reasons, since the phase was aborted or aborted for repairing.

- The phase was aborted.
If the phase has been aborted with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).
- The phase was aborted for repairing.
If the phase has been aborted for repairing with **recovery (SR1200.3+)** capabilities ([GID-2665854](#)).

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.4 *GID-3117398 Resizable Layout (SR0900.6)*

The main window of the Production Execution Client is resizable. The Phase UI of phases in version 11.0 and higher shall resize horizontally with the main window and fill the complete work area. The Phase UI of phases in versions before 11.0 keep their horizontal size and display centered in the work area.

The work area width must not be reduced to less than its minimum size (see (GID-3073312) in FT PharmaSuite Supported Platforms Guide [A14] ([GID-2665873](#))).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.1.5 *GID-3117399 Support of different screen resolutions (SR0900.7)*

Using a screen with higher resolution, a phase shall be able to show more data or the same data but larger (this additionally depends on operating system settings (see (GID-3073312) in FT PharmaSuite Supported Platforms Guide [A14] ([GID-2665873](#)))). A phase in version 11.0 or higher is a prerequisite.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2 Process Parameters (SR0900.8+)

The following process parameters define the behavior of the phase.

7.2.1 *Instruction Table-specific Parameters*

The available instruction table-specific parameters are listed in the following sections.

7.2.1.1 GID-2667032 INSTRUCTION TABLE DEFINITION (SR0900.8.5)

The internal identifier is populated from the table identifier.

This capability refers to **Instruction Table Process Parameters (SR3146.9.7.5)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] (GID-2451997).

Attribute	Type	Comment
Table layout	Choice list	Defines the layout of the instruction table holding the instruction texts. Available settings: 1 column, 2 columns, 3 columns, 4 columns, 5 columns. Default setting: 1 column.
First column narrow	Boolean	Defines if the first column of the table shall be narrow.
Show all borders	Boolean	Defines if the borders of the table shall be visible.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.1.2 GID-2667033 INSTRUCTION TABLE TEXT (SR0900.8.6)

The internal identifier is a concatenation of the table identifier and text identifier.

This capability refers to **Instruction Table Process Parameters (SR3146.9.7.5)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] (GID-2451997).

Attribute	Type	Comment
Column 1	HTML text	Instruction text to be displayed in a column.
Column 2	HTML text	Restriction: Maximum length is 2000 characters (including HTML tags).
Column 3	HTML text	
Column 4	HTML text	
Column 5	HTML text	

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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7.2.2 *Instruction Link-specific Parameters*

The available instruction link-specific parameters are listed in the following sections.

7.2.2.1 GID-2667034 INSTRUCTION TEXT WITH LINKS (SR0900.8.13)

Initially, the internal identifier is populated from the instruction link identifier.

This capability refers to **Instruction Link Process Parameters (SR3146.9.7.6)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#)).

Attribute	Type	Comment
Instruction text	HTML text	<p>Instruction text to be displayed. For any text enclosed in curly brackets you can define a hyperlink with the Instruction link definition process parameter (GID-2373704). Example: Refer to {SOP1270} for guidance.</p> <p>Maximum length is 2000 characters (including HTML tags).</p>

The PharmaSuite default stylesheet defines specific values (underlined and yellow text) for the hyperlink.

On the active and completed views during execution, the user can click on the hyperlink. The system shall ensure that the defined URL is not empty and passes a syntax check. If a check fails, an appropriate error message is displayed.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.2.2 GID-2667035 INSTRUCTION LINK DEFINITION (SR0900.8.14)

This capability refers to **Instruction Link Process Parameters (SR3146.9.7.6)** in "Functional Requirement Specification Recipe and Workflow Management" [A2] ([GID-2665873](#)).

Attribute	Type	Comment
Link text	Text	<p>Text to be used as link. For any text enclosed in curly brackets within the instruction text you can define a link with the Link URL attribute. Including the brackets in the link text is optional. Maximum length is 80 characters.</p>
Link URL	Text	<p>URL of the file to be displayed. The link opens the external application assigned to the file type by the operating system. Maximum length is 256 characters.</p>

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3 *Editor-specific Parameters*

The available editor-specific parameters are listed in the following sections.

7.2.3.1 GID-2667036 LIST EDITOR (SR0900.8.3)

The system provides a List editor for entering list items.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.2 GID-2667037 OPTION LIST EDITOR (SR0900.8.2)

The system provides an Option List editor for entering choice items as key/display text value pairs.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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7.2.3.3 GID-2667038 PROPERTY SELECTION EDITOR (SR0900.8.1)

The system provides a Property Selection editor for selecting an equipment property based on its data type (numeric, string, boolean).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.4 GID-2667039 TRIGGER SELECTION EDITOR (SR0900.8.4)

The system provides a Trigger Selection editor for selecting triggers based on their equipment graph. The graph purpose determines which triggers of which equipment graphs are available. System triggers and triggers of graphs in the **Archived** status are not available.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.5 GID-2667040 EQUIPMENT CLASS SELECTION EDITOR (SR0900.8.11)

The system provides an Equipment Class Selection editor for selecting an equipment class from the Universe. Equipment classes in a **Retired** state (e.g. Archived) are not available for selection.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.6 GID-2667041 TEMPLATE EQUIPMENT ENTITY SELECTION EDITOR (SR0900.8.12)

The system provides a Template Equipment Entity Selection editor for selecting a template equipment entity.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.7 GID-2667042 ATTRIBUTE SELECTION EDITOR (SR0900.8.7)

The system provides an Attribute Selection editor for selecting a property type or an equipment graph property (status or expiry date).

If the editor is displayed for a specific equipment class, only properties assigned to the equipment class are available.

In case of a runtime property, the following technical property types are supported:

- BigDecimal
 - String
 - Boolean
 - Measured value
 - Duration
 - Flexible attribute definition
- The retrieval of one attribute is supported.

In case of a specification property, the following technical property types are supported:

- BigDecimal
- String
- Boolean
- Duration

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.8 GID-2667043 MASTER WORKFLOW SELECTION EDITOR (SR0900.8.8)

The system provides a Master Workflow Selection editor for selecting the identifier of an **Approved** or **Scheduled** master workflow.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.2.3.9 GID-2667044 WORK CENTER SELECTION EDITOR (SR0900.8.9)

The system provides a Work Center Selection editor for selecting a work center.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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7.2.3.10 GID-2667045 STATION SELECTION EDITOR (SR0900.8.10)

The system provides a Station Selection editor for selecting a station.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.3 Output Variables (SR0900.9+)

The following output variables are available to reference the phase's output.

7.3.1 GID-2666388 Instance count (SR0900.9.1)

- Data type: Long
- Usage: The output variable provides the count of the number of instances the phase has been processed, for example in a loop. The count is also increased when the phase is skipped from an operator's perspective, since the phase is still executed, but as a hidden phase.
The count variable of a phase that has not been executed provides 0 as output value.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.3.2 GID-2666389 Start time (SR0900.9.2)

Data type: Timestamp

Usage: The output variable provides the start time of the phase.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

7.3.3 GID-2666390 Completion time (SR0900.9.3)

Data type: Timestamp

Usage: The output variable provides the completion time of the phase.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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7.3.4 *GID-2666391 Identifier (SR0900.9.4)*

Data type: String

Usage: The output variable provides the identifier of the phase.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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8 Operation-related Common Capabilities (SR0950+)

This chapter describes specific requirements that are common to all PharmaSuite operation building blocks.

8.1 Output Variables (SR0950.9+)

The following output variable is available to reference the operation's output.

8.1.1 *GID-2666392 Instance count (SR0950.9.1)*

- Data type: Long
- Usage: The output variable provides the count of the number of instances the operation has been processed, for example in a loop.

The count variable of an operation that has not been executed provides 0 as output value.

For event-triggered operations (ETOs), the instance count refers to the operation template.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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9 FT Warehouse Management Integration (SR9110+)

To integrate FT PharmaSuite and FT Warehouse Management, both systems must exchange data to inform each other of executed inventory actions, such as subplot quantity changes, relocations, or unload operations.

TIP

Part of the data is exchanged via the same database.

All other data is exchanged via an interface to FT PharmaSuite using XML-formatted messages, while the interface to FT Warehouse Management happens via RESTful API calls.

The URL, the user and the password used for the RESTful API calls can be configured as configuration key.

For further configuration details, please see "FT PharmaSuite Technical Guide Configuration & Extension - Volume 4" [A1] (GID-2437915)

9.1 GID-2666190 Inform Warehouse Management about Created Sublots (SR9110.1)

PharmaSuite informs Warehouse Management about created sublots. With this information, Warehouse Management creates the related payload and the logistic unit at the defined storage unit.

- The request contains a list of subplot identifiers with quantity and status and the inventory data equal for all sublots: material, batch, storage location.
- In the reply, Warehouse Management indicates whether creating the payload and logistic unit was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.2 GID-2666191 Inform Warehouse Management about Totally Consumed Sublots (SR9110.2)

PharmaSuite informs Warehouse Management about totally consumed sublots. With this information, Warehouse Management deletes the related payloads. If a logistic unit is empty afterwards, the logistic unit is deleted as well.

- The request contains the list of consumed subplot identifiers and the inventory data that is equal for all sublots: material, batch, storage location.
- In the reply, Warehouse Management indicates whether creating the payload and logistic unit was successful or an error occurred.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.3 GID-2666192 Request a New Logistic Unit from Warehouse (SR9110.3)

PharmaSuite requests a new logistic unit from Warehouse Management to load it with sublots. Warehouse Management creates a new temporary logistic unit at the defined storage unit.

- The request contains the storage location for the logistic unit to create.
- In the reply, Warehouse Management indicates whether the logistic unit creation was successful or an error occurred. In case of success the identifier and the related barcode of the new created logistic unit are returned.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.4 GID-2666193 Get the Confirmation that a Logistic Unit Exists (SR9110.4)

PharmaSuite requests from Warehouse Management if a logistic unit exists.

- The request contains the logistic unit identifier or the logistic unit barcode.
- In the reply, Warehouse Management indicates whether the logistic unit was found or an error occurred. In case the logistic unit was found, both the logistic unit identifier and the barcode are returned.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.5 GID-2666194 Print a Logistic Unit Label (SR9110.5)

PharmaSuite informs Warehouse Management about a logistic unit label that needs to be created. Warehouse Management prints the requested label.

- The request contains the logistic unit identifier.
- In the reply, Warehouse Management indicates whether the printing of the label for the logistic unit was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.6 GID-2666195 Re-print a Logistic Unit Label (SR9110.6)

PharmaSuite informs Warehouse Management to re-print the label of a logistic unit. Warehouse Management prints the requested label.

- The request contains the logistic unit identifier.
- In the reply, Warehouse Management indicates whether the re-print of the label for the logistic unit was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.7 GID-2666196 Get the Load of a Logistic Unit (SR9110.7)

PharmaSuite requests from Warehouse Management all sublots residing on a logistic unit.

- The request contains the logistic unit identifier.
- In the reply, Warehouse Management indicates whether the logistic unit was found or an error occurred. In case of success the list of subplot identifiers residing on the logistic unit is returned.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.8 GID-2666197 Stack a Logistic Unit (SR9110.8)

PharmaSuite requests from Warehouse Management to relocate a logistic unit onto another logistic unit e.g. placing a bin on a pallet.

- The request contains the logistic unit identifier to relocate and the identifier of the target logistic unit.
- In the reply, Warehouse Management indicates whether relocating the logistic unit was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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9.9 GID-2666198 Inform Warehouse Management about a Changed Sublot Quantity (SR9110.9)

PharmaSuite informs Warehouse Management about the change of a subplot quantity. With this information, Warehouse Management updates the related payload quantity.

- The request contains the subplot identifier and the new subplot quantity.
- In the reply, Warehouse Management indicates whether updating the payload quantity was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.10 GID-2666199 Move Sublots to a Logistic Unit (SR9110.10)

PharmaSuite informs Warehouse Management about the relocation of sublots to a target logistic unit. With this information, Warehouse Management moves the related payloads to the logistic unit. It is possible to define if the target logistic unit shall be automatically relocated to a definable storage location before it is loaded.

- The request contains the target logistic unit identifier and the list of subplot identifiers to move. A target storage location is optional.
- In the reply, Warehouse Management indicates whether relocating the sublots was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.11 GID-2666200 Load a Container (SR9110.11)

PharmaSuite informs Warehouse Management about the relocation of a subplot to a target container. With this information, Warehouse Management moves the related payload to the logistic unit (container).

- The request contains the subplot identifier and the identifier of the target logistic unit (container).
- In the reply, Warehouse Management indicates whether relocating the payload was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.12 GID-2666201 Inform Warehouse Management about a Sublot Status Change (SR9110.12)

PharmaSuite informs Warehouse Management about a changed subplot status. With this information, Warehouse Management creates a transaction history record.

- The request contains the subplot identifier, the old and new subplot status and the time of the event. Additionally, a comment, a transaction process name and reference can be provided for documentation purposes.
- In the reply, Warehouse Management indicates whether the transaction history record was created successfully or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.13 GID-2666202 Receive Information about the Loading of Empty Equipment (SR9110.13)

Warehouse Management informs PharmaSuite that an empty equipment entity (logistic unit) is loaded. PharmaSuite executes the related equipment status transition.

- The request contains the identifier of the equipment (logistic unit) identifier to load and the equipment graph purpose and trigger.
- In the reply, PharmaSuite indicates whether the equipment status transition was successful or an error occurred.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.14 GID-2666203 Receive Information about a Total Unload of Equipment (SR9110.14)

Warehouse Management informs PharmaSuite that the last load was removed from the equipment-controlled logistic unit. PharmaSuite executes the related equipment status transition.

- The request contains the identifier of the equipment (logistic unit) to unload and the equipment graph purpose and trigger.
- In the reply, PharmaSuite indicates whether the equipment status transition was successful or an error occurred.

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Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15 GID-2665871 Sublot Operations - Inventory Operations (SR1076.10)

The system shall provide functions to support inventory operations on sublots.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

9.15.1 GID-2666393 Quantity (Inventory) Correction (SR1076.10.1)

The system shall support the correction of the quantity of a selected subplot.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	Yes

9.15.2 GID-2666394 Deletion (Material Issue) (SR1076.10.2)

The system shall support the deletion or the filtering of selected sublots/consumed sublots.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.2.1 GID-2667046 MANUAL DELETION (SR1076.10.2.1)

The system shall provide the functionality to delete one selected subplot on the user interface level. In this case, an electronic signature shall be performed. A check shall be performed before to ensure that the subplot is not in use by another process.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.2.2 GID-2667047 MANUAL DELETION (DISPENSING) (SR1076.10.2.1.1)

One context shall be the dispensing. A source subplot is empty and the user shall report it to the system (example: set the **subplot empty** flag).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.3 GID-2666395 Relocation (SR1076.10.3)

The system shall provide a functionality that a user can relocate a set of items to a defined target (example: n selected sublots, n=1..N).

The relocation functionality is not available if PharmaSuite is configured to communicate with Warehouse Management.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.3.1 GID-2667048 RELOCATION TO STORAGE LOCATION (SR1076.10.3.1)

The system shall provide a functionality that a user can relocate one item (e.g. subplot, pallet,...) to a defined target storage location.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.3.2 GID-2667049 ONE SUBLOT (SR1076.10.3.1.1)

The system shall provide a functionality that a user can relocate one subplot to a defined target storage location.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

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9.15.4 GID-2666396 Sublot Split (SR1076.10.5)

The system shall provide the functionality to split a selected subplot. The new subplot(s) shall inherit the subplot status of the old subplot.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.4.1 GID-2667050 EVEN SPLIT (SR1076.10.5.1)

The system shall support even split: the operator defines the number of new sublots (n) and the system creates n new sublots of same quantities. For each new subplot a new label is printed. The storage location of the target sublots is equal to the storage location of the source subplot.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.4.2 GID-2667051 UNEVEN SPLIT (SR1076.10.5.2)

The system shall support uneven split: the operator defines the number of new sublots (n) and the related quantity (q) for each of the new sublots (same quantity within set of n sublots). The system creates n new sublots of the q quantity each (and ensures that $n*q \leq$ source quantity). Only for the new subplot a subplot label is printed.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5 GID-2666397 Material Receipt (SR1076.12)

The system shall allow to receive material.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.1 GID-2667052 INTERNAL (SR1076.12.1)

The system shall allow to receive material from internal sources. It is not foreseen to receive material ordered by purchase orders via ERP.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.2 GID-2667053 EXISTING BATCH (SR1076.12.2.1)

The system shall allow to select an already existing batch number of a material, which shall be booked into the system.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.3 GID-2667054 MANUAL BATCH (SR1076.12.2.2)

During material receipt, the system shall allow the operator to define a batch number manually.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.4 GID-2667055 NEW SUBLOTS (SR1076.12.3)

The system shall allow to generate new subplot numbers.

The subplot status is set according to the default subplot status maintained with the material master data.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.5 GID-2667056 NEW SUBLOTS WITH DIFFERENT QUANTITIES (SR1076.12.4)

The system shall allow to generate sublots with different quantities. Example: 2 sublots of 1 kg, 4 sublots of 10 kg, 1 subplot of 0.008 kg.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Medium
MES-Compliance: 21 CFR Part 11 relevance	No

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9.15.5.6 GID-2667057 LABEL PRINT (SR1076.12.5)

The system shall allow to print labels for received sublots.

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	High
MES-Compliance: 21 CFR Part 11 relevance	No

9.15.5.7 GID-2667058 REPRINT (SR1076.12.7)

The system shall allow to reprint the last printed label by performing one user interaction (example: Print last label again).

Attribute	Value
MES-Business: GxP relevance	Yes
MES-Business: Business Impact	Low
MES-Compliance: 21 CFR Part 11 relevance	No

10 Reference Documents

The following documents are available from the Rockwell Automation Download Site.

No.	Document Title	Part Number
A1	FT PharmaSuite Functional Requirement Specification Review and Approval	PSFRSRA-RM007B-EN-E
A2	FT PharmaSuite Functional Requirement Specification Recipe and Workflow Management	PSFRSRD-RM011B-EN-E
A3	FT PharmaSuite Technical Guide Administration	PSAD-RM011B-EN-E
A4	FT PharmaSuite Functional Requirement Specification Runtime Data Management	PSFRSRT-RM007B-EN-E
A5	FT PharmaSuite Technical Guide Configuration & Extension - Volume 2	PSCEV2-GR011B-EN-E
A6	FT PharmaSuite Technical Guide Installation	PSES-IN011B-EN-E
A7	FT PharmaSuite Functional Requirement Specification Data Management	PSFRSDM-RM007B-EN-E
A8	FT PharmaSuite Functional Requirement Specification Dispense and Inline Weighing	PSFRSDI-RM009B-EN-E
A9	PharmaSuite Functional Requirement Specification Material Tracking Phases	PSFRSMT-RM008B-EN-E
A10	FT PharmaSuite Functional Requirement Specification Non-functional Requirements	PSFRSNF-RM004B-EN-E
A11	FT PharmaSuite Technical Guide Configuration & Extension - Volume 4	PSCEV4-GR011B-EN-E
A12	FT PharmaSuite Technical Guide Developing System Building Blocks	PSBB-PM011B-EN-E
A13	Technical Guide DCS Adapter	DCTMAD-GR004A-EN-E
A14	FT PharmaSuite Supported Platforms Guide	PSPG-RM011B-EN-E

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TIP

To access the Rockwell Automation Download Site, you need to acquire a user account from Rockwell Automation Sales or Support.

11 Document Information

The document information covers various data related to the document.

11.1 Approval

This document has been approved electronically via the Rockwell Automation Document Management System (DMS). The required approvers of this document include the following:

Name	Role
Norbert Ern	Product Owner
Martin Kühne	Technical Lead
Ignaz Wangler	Test Lead

11.2 Version Information

Object	Version
FT PharmaSuite	11.01.00
Functional Requirement Specification	1.0

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12 Appendix A - Revision History

12.1 Updated Requirements

[GID-2666853](#) Header Bar (SR3071.4.2.4.1)

[GID-2666854](#) Control Bar (SR3071.4.2.4.3)

[GID-2666855](#) Notification Panel (SR3071.4.2.4.4)

[GID-2667327](#) Notification text, value and timestamp (SR3071.4.2.4.4.2)

[GID-2666858](#) Automatic Notification Purge (SR3071.4.2.4.7)

[GID-2666861](#) Configurable information of running unit procedures (SR3071.4.1.1.6.1)

[GID-2666863](#) Sorting of running unit procedures (SR3071.4.1.1.7)

[GID-3278956](#) Startable Processes

[GID-2666881](#) Resume in Case of a High Number of Phases (SR3071.4.2.4.2.5)

[GID-2665770](#) Server Heartbeat Check (SR3071.4.1.2)

[GID-2665771](#) Automatic Locking (SR3071.4.1.4)

[GID-2666908](#) Default Preview at Runtime (SR1089.1.5.1)

[GID-2792405](#) Phase Outputs

[GID-3278959](#) Operation Outputs

[GID-3278959](#) Operation Outputs

[GID-2665805](#) Append workflow-specific exception at workflow start (SR1089.7.1.2)

[GID-2666926](#) Reactivate unit procedure-specific exception (SR1089.8.5.1)

[GID-2665813](#) Cancel a Workflow (SR1089.8.6)

[GID-2666938](#) Create a new run-specific exceptions (SR1089.6.2.3.1)

[GID-2666949](#) Notification for Run created (SR1089.6.3.5.1)

[GID-2666957](#) Operation Execution (OE) server-run-specific exceptions (SR1089.6.4.2)

[GID-2666958](#) Triggered Operation Management (TOM) server-run-specific exceptions (SR1089.6.4.3)

[GID-2666961](#) Abort-specific exception (SR1089.6.7.1)

[GID-2665832](#) API - Generating an Equipment Entity (SR1089.3.11)

[GID-2665833](#) API - Printing an Equipment Entity Label (SR1089.3.12+)

[GID-2665834](#) API - Generating an Equipment Entity of the Hybrid Equipment Type (SR1089.3.13)

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[GID-2666987](#) Sublot identification checks (SR1089.3.13.1)

[GID-2665835](#) API – Identifying an Equipment Entity of the Hybrid Equipment Type (SR1089.3.14)

[GID-2666998](#) Current subplot identification checks (SR1089.3.14.1)

[GID-2666999](#) Base subplot identification checks (SR1089.3.14.2)

[GID-2665837](#) Specific API Support for Interfaces (SR1089.9+)

[GID-2666335](#) Signature Panel (SR1089.4.1)

[GID-2666337](#) Dynamic Behavior (SR1089.4.3)

[GID-2666338](#) Password Performance (SR1089.4.4)

[GID-2666339](#) Recorded Signature Timestamp (SR1089.11.1)

[GID-2666340](#) Renewal of Signature Timestamp (SR1089.11.2)

[GID-2666341](#) Signature Timestamp in Reports (SR1089.11.3)

[GID-2665848](#) Focus of Input Fields (SR1089.5.1)

[GID-3083270](#) Focus on Buttons (SR1089.5.2)

[GID-3072370](#) Button Availability

[GID-3278968](#) Transition Condition Evaluation for Reactivated Unit Procedures

[GID-2666344](#) Resuming Server-run Operations (SR1200.1.3)

[GID-2666346](#) Unload and Reload Procedures of Orders and Workflows (SR1200.2.2)

[GID-2666347](#) Abort Phase (SR1200.3.1)

[GID-2666348](#) Repair Phase (SR1200.3.2)

[GID-2666364](#) User-defined Exceptions (SR1079.1.1)

[GID-2666365](#) User-triggered Exceptions (SR1079.1.2)

[GID-2666366](#) Post-completion Exceptions (SR1079.1.3)

[GID-2666367](#) System-triggered Exceptions (SR1079.1.4)

[GID-2666372](#) Extend Exception Description and Comment by Pre-defined Text (SR1079.2.10)

[GID-2666373](#) Cancelation of Exception (SR1079.2.7)

[GID-2666376](#) Comments Related to an Exception (SR1079.2.3)

[GID-2666380](#) Inform an External QMS about New Exceptions (SR1079.2.8)

[GID-3278972](#) Preview mode

[GID-3278973](#) Active mode

[GID-3278976](#) Completed mode

[GID-3278978](#) Information column

[GID-3278980](#) Action column

[GID-3117398](#) Resizable Layout (SR0900.6)

[GID-2666392](#) Instance count (SR0950.9.1)

12.2 Added Requirements

[GID-2665871](#) Sublot Operations - Inventory Operations (SR1076.10)

[GID-2666393](#) Quantity (Inventory) Correction (SR1076.10.1)

[GID-2666394](#) Deletion (Material Issue) (SR1076.10.2)

[GID-2667046](#) Manual Deletion (SR1076.10.2.1)

[GID-2667047](#) Manual Deletion (Dispensing) (SR1076.10.2.1.1)

[GID-2666395](#) Relocation (SR1076.10.3)

[GID-2667048](#) Relocation to Storage Location (SR1076.10.3.1)

[GID-2667049](#) One Sublot (SR1076.10.3.1.1)

[GID-2666396](#) Sublot Split (SR1076.10.5)

[GID-2667050](#) Even Split (SR1076.10.5.1)

[GID-2667051](#) Uneven Split (SR1076.10.5.2)

[GID-2666397](#) Material Receipt (SR1076.12)

[GID-2667054](#) Manual Batch (SR1076.12.2.2)

[GID-2667055](#) New Sublots (SR1076.12.3)

[GID-2667056](#) New Sublots With Different Quantities (SR1076.12.4)

[GID-2667057](#) Label Print (SR1076.12.5)

[GID-2667058](#) Reprint (SR1076.12.7)

[GID-2667053](#) Existing Batch (SR1076.12.2.1)

[GID-2667052](#) Internal (SR1076.12.1)

[GID-2666192](#) Request a New Logistic Unit from Warehouse (SR9110.3)

[GID-2666193](#) Get the Confirmation that a Logistic Unit Exists (SR9110.4)

[GID-2666194](#) Print a Logistic Unit Label (SR9110.5)

[GID-2666195](#) Re-print a Logistic Unit Label (SR9110.6)

[GID-2666196](#) Get the Load of a Logistic Unit (SR9110.7)

[GID-2666197](#) Stack a Logistic Unit (SR9110.8)

[GID-2666198](#) Inform Warehouse Management about a Changed Sublot Quantity (SR9110.9)

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[GID-2666199](#) Move Sublots to a Logistic Unit (SR9110.10)

[GID-2666200](#) Load a Container (SR9110.11)

[GID-2666201](#) Inform Warehouse Management about a Sublot Status Change (SR9110.12)

[GID-2666202](#) Receive Information about the Loading of Empty Equipment (SR9110.13)

[GID-2666203](#) Receive Information about a Total Unload of Equipment (SR9110.14)

[GID-2666189](#) FT Warehouse Management Integration (SR9110+)

[GID-3521824](#) Abort a Workflow

[GID-3473531](#) Abort workflow-specific exception

[GID-3695977](#) No Inheritance Rule

[GID-3632063](#) Worst Case Inheritance Rule

[GID-3632036](#) Cold Chain Tracking during Execution

[GID-3632081](#) Examples for Inheritance

[GID-3632091](#) Inheritance Worst Case

[GID-2666190](#) Inform Warehouse Management about Created Sublots (SR9110.1)

[GID-2666191](#) Inform Warehouse Management about Totally Consumed Sublots (SR9110.2)

12.3 Deleted Requirements

GID-2666909 Phase Outputs

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